

**A Proposal to Implement and Support Structured Decision Making® Assessments,
Integrated Social Work Practices,
and Program Monitoring and Evaluation in the
Allegheny County Department of Human Services**

**Submitted April 18, 2014
by the Children's Research Center,
a center of the National Council on Crime and Delinquency**

Term of Project: September 1, 2014 – August 31, 2019

EXECUTIVE SUMMARY

The National Council on Crime and Delinquency (NCCD) proposes to work with the Allegheny County Department of Human Services (DHS) to achieve their goal of improving the delivery of services to DHS customers by using data to improve decision making. Specifically, NCCD proposes to collaborate with DHS to implement the Structured Decision Making® systems for child protective services (CPS) and adult protective services (APS). SDM systems inform decision making at the case level and, when assessment data are aggregated together, inform agency-level decision making as well.

NCCD's mission is to promote just and equitable social systems for individuals, families, and communities through research, public policy, and practice. For more than 100 years, our research has informed better system responses at all points of contact. For more than 20 years, the NCCD Children's Research Center (CRC), located in Madison, Wisconsin, has collaborated with jurisdictions around the world to use research and data to improve outcomes in human service fields through SDM® system implementation. The SDM system for CPS has spread to 40 US states, Australia, Canada, Bermuda, Taiwan, and Singapore, and the SDM system for APS has been implemented in California, Minnesota, New Hampshire, Virginia, and Texas.

In CPS, SDM systems have been shown to improve the quality of decision making over professional judgment alone, to accurately classify families by the likelihood of subsequent abuse or neglect, to improve the equity of outcomes, and to reduce subsequent child abuse and neglect while promoting permanency. In addition, the SDM system for APS has shown accuracy in identifying clients at greatest risk of negative outcomes.

When developing an SDM system, NCCD works with the jurisdiction to identify the critical decision points in the life of a case—whether the service area is child protection, adult protection, or foster care support—and to develop tools for each decision point to improve the reliability, validity, and equity of decision making. We propose to partner with DHS to focus on questions such as the best way to prioritize child welfare intake cases for response, which child and elder abuse cases are at highest risk of future harm, and others.

The staff who will work on this project include Shannon Flasch (CRC associate director), Philip Decter (CRC associate director), Amy Cipolla-Stickles, Mollie Warren, Sue Gramling, Nichole Carlisle, Shanna Dean, Erin Wicke Dankert, and Sarah Covington.

The total budget for this project is \$1,000,015.

ORGANIZATIONAL DESCRIPTION

Organizational History

The National Council on Crime and Delinquency's (NCCD) mission is to promote just and equitable social systems for individuals, families, and communities through research, public policy, and practice. For more than 100 years, our research has informed better system responses at all points of contact. NCCD employs 98 employees across three offices located in Oakland, California; Washington, DC; and Madison, Wisconsin. For more than 20 years, the NCCD Children's Research Center (CRC), located in Madison, Wisconsin, has collaborated with jurisdictions around the world to use research and data to improve decision making and service delivery across human service fields through Structured Decision Making® (SDM) system implementation. The SDM® system has spread to 40 US states, Australia, Canada, Bermuda, Taiwan, and Singapore. The SDM systems for supporting foster homes and for adult protective services (APS) have been implemented in several states, including California (foster care and APS); Connecticut, Kansas, and Nebraska (foster care); and Minnesota, New Hampshire, Virginia, and Texas (APS).

Each SDM model is an evidence- and research-based system that identifies the key points in the life of a human services case and uses structured assessments to improve the consistency and validity of each decision while supporting worker decision making. The SDM model additionally includes clearly defined service standards, mechanisms for timely reassessments, methods for measuring workload, and mechanisms for ensuring accountability and quality controls.

Relevant Experience

NCCD has worked with many states and jurisdictions internationally to implement and use SDM systems. Our organizational strengths include the following.

- *NCCD has a thorough understanding of case practice.* Many NCCD staff members have worked in child protective services (CPS) systems or with agencies serving vulnerable adults in the community. This gives us a valuable, practical perspective.
- *NCCD translates research into action.* Each SDM system is research- and evidence-based. In addition to skilled field staff, we have researchers and data analysts on staff who are accustomed to collaborating to answer questions of vital importance to the field.
- *NCCD has experience integrating field and technological solutions.* In addition to onsite researchers, we also have programmers on the team who have worked with multiple jurisdictions to integrate assessments into SACWIS systems and to build new data systems when necessary. This experience helps us always keep the end users in mind. In addition, NCCD staff have been collaborating with Allegheny County in the development and use of the county's SafeMeasures system.

NCCD helps federal, state, and local child welfare agencies reduce child abuse and neglect by developing decision-support systems and conducting research that improves service delivery to children and families. NCCD has collaborated with and continues to assist states, counties, and private agencies in efforts to develop decision-support systems that maximize the impact of available service interventions. These efforts include: evaluation research and planning; construction of objective, research-based classification instruments; design and implementation of structured assessments; workload accounting; and design of management information systems (MIS).

Collaborative Projects

NCCD does all of its child welfare and adult protection work in collaboration with agency partners who represent jurisdictions across the United States. We believe our partners must have a hand in creating their own systems so that they can improve outcomes with children, families, and vulnerable adults. Past collaborative projects include the following.

SDM® System Projects: Child Welfare

California Department of Social Services Risk Assessment Research and Case Management System Development (1998 to present)

The California Department of Social Services initially contracted with CRC to design and implement a comprehensive child protection SDM system in seven pilot counties, including Alameda, Los Angeles, Humboldt, Orange, Sacramento, San Bernardino, and Santa Clara. During the first year of the project, workgroups developed a comprehensive case management system that included assessments for response priority, safety and risk, and a family needs assessment that guides decisions at each point in the CPS and foster care systems. CRC staff also conducted a research study of more than 2,000 cases to validate the actuarial risk assessment. Other case management components included case opening guidelines, case service standards, reassessment procedures for ongoing cases, and workload accounting. Approximately 50 California counties have adopted SDM case management procedures and CRC continues to provide technical implementation and ongoing support assistance to them. CRC produced quarterly data management reports during the initial phase and continues to produce an annual report for the department.

Currently, CRC is providing technical assistance and training to California county child welfare agencies participating in implementation of the SDM placement support assessment model. This model is comprised of three assessments that support worker decision making related to the degree of support foster and relative care providers require to reduce the likelihood of placement disruption due to inadequate caregiving. CRC developed a computer application that is linked to an existing state database to record case assessments and assist agencies in monitoring service delivery performance. CRC staff currently access the information system to produce quarterly reports for county staff. These reports describe the response priority, safety, risk, and needs assessment findings, as well as ongoing service delivery outcomes. This system has been implemented statewide. Training curricula were developed and trainings conducted by CRC staff for supervisors and line staff.

Department of Child Safety in Queensland, Australia (2004 to present)

The Department of Child Safety (DCS) in Queensland, Australia, was required to completely restructure its CPS system as a result of a Crime and Misconduct Commission study. A major component of the restructuring was to include valid and reliable assessments to guide decision making in child protection. An independent review of various systems resulted in selection of the SDM model. At the same time, key practice principles were revised toward more family-focused, community-based approaches. CRC worked with Queensland to customize a complete SDM model, integrate the model into the new practice framework, develop a training curriculum, and provide training for pilot sites and training for trainers. Equity issues were very important in Queensland, and CRC worked with department staff to ensure that Aboriginal and Torres Strait Islander voices were included in the customization process. The SDM model is now used throughout Queensland. CRC conducts data analysis and management information reporting to aid the DCS in assessing ongoing implementation, monitoring SDM system use, and examining special topics of interest.

Delaware Department of Services for Children, Youth and Their Families (2011 to present)

CRC designed, developed, and provided training to the Delaware Department of Services for Children, Youth and Their Families (DSCYF) to implement the full system of SDM assessments for child protective services. Concurrently, NCCD has collaborated with DSCYF to implement the safety-organized practice model that helps workers better engage families and safety networks. NCCD has received funding from the Jesse Ball duPont Fund, the Longwood Foundation, and Delaware DSCYF to continue working with Delaware to reduce racial and ethnic disparity in child protection by introducing rigorous assessments and training using the SDM system and safety-organized practice.

District of Columbia Child and Family Services Agency (1996 to 1997 and 2013 to present)

CRC developed a case management system for protective service clients in Washington, DC. CRC staff worked with the agency to develop a case management system that incorporated standard procedures for assessing family risk and service needs, a structured case planning system, computerized case tracking, and agency workload accounting. CRC provided training to protective service workers and maintained a computerized MIS to produce monthly reports describing the service needs and case outcomes of families served by the agency. More recently, CRC has reengaged with the agency to provide an update of the SDM assessments originally implemented in the late 1990s and to implement a model of family-centered and safety-focused practice for all child protection workers.

New South Wales SDM® System (2009 to present)

CRC worked with the New South Wales Department of Community Services (CS) to develop a comprehensive suite of SDM assessments. The initial stages of the project focused on intake issues. In addition to developing screening and response priority assessments, CRC designed guidance for mandatory reporters that assists them in making decisions about which cases should be referred to the CS helpline. Subsequent components of the project focused on the development and implementation of safety, risk, family strengths and needs, and risk

reassessment tools. In addition to their traditional uses, assessment results will shape a classification of available service pathways in a system of differential response.

Louisiana SDM® System (2007 to 2009)

In the first phase of the project, CRC reviewed current policy/practices, developed a training package and delivered training and training-for-trainers sessions. CRC also provided postimplementation consultation and technical assistance.

In the second phase of the project, CRC assisted the Louisiana Department of Social Services in expanding SDM system use in the screening and investigation stages of maltreatment reports in Louisiana and assisted the department with monitoring implementation via management reports.

During the first year of the project, workgroups developed a comprehensive case management system that included assessments for response priority, safety, risk, family needs, and reunification, as well as a risk reassessment. Assessment results help guide decision making at each point in the CPS and foster care systems. Other case management components include case opening guidelines and case service standards. CRC also developed a computer application that was linked to an existing state database to record case assessments and assist agencies in monitoring service delivery performance. Based on these data sources, CRC produced quarterly management reports to assist the department in monitoring implementation and describing service delivery at key points in the case process.

CRC staff were integrally involved in the design and implementation of the system. In addition to guiding the initial design phase, CRC also facilitated system modifications based on the experience of the pilots. During the first two phases, CRC conducted all-staff training and a number of refreshers. For the third phase (2006), CRC developed a cadre of state staff to serve as trainers for the next stages of implementation. This group of SDM experts assumed the lead role in providing SDM-related technical assistance to the localities. Throughout the course of the project, CRC staff also provided on- and offsite technical assistance directly to the implementing jurisdictions, conducted case readings, issued management reports using the data from the computer application, monitored system implementation, and facilitated quarterly meetings of the statewide SDM advisory committee. Also, in preparation for statewide implementation, CRC conducted a workload study to determine the number of staff that Virginia needed to fully implement the system.

SDM® System Projects: APS

New Hampshire APS SDM® System (October 2008 to present)

Under Grant No. 2008-IJ-CS-0025 funded by the National Institute of Justice, NCCD and the New Hampshire Bureau of Elderly and Adult Services (BEAS) are developing an actuarial risk assessment to be completed by APS workers to estimate the likelihood that an elderly or vulnerable adult will become a victim of abuse or neglect. APS workers can use this information when determining the level of service to provide to a client. Phase I of the study

involved conducting a prospective study to construct a risk assessment that estimates the likelihood of future adult maltreatment in nonresidential settings. The critical characteristics of all noninstitutional investigations were observed by APS workers during the first nine months of the research project, and recidivism was observed for a standardized six-month follow-up period. The risk assessment was constructed using actuarial research methods and was reviewed with BEAS staff. BEAS implemented the risk assessment in July 2010. Phase II of the project consisted of a process evaluation to examine the fidelity with which workers use the risk assessment when making case decisions. Phase III involves a second, prospective validation study to ensure that, when implemented under field conditions, the actuarial risk assessment accurately classifies clients by the likelihood of future mistreatment.

Norfolk, Virginia, APS SDM® System (July 2012 to present)

NCCD staff are assisting Norfolk APS staff in developing, training on, and implementing the following SDM assessments: intake assessment, safety assessment, risk assessment, and strengths and needs assessment.

Olmsted County, Minnesota, APS SDM® System (October 1, 2009, to June 30, 2010)

The Minnesota Adult Protection County Collaborative formed in late 2009 as an organization of counties working toward greater consistency in APS. Participating agencies, in conjunction with NCCD, developed a case management system designed to increase the consistency and accuracy of key decisions made by APS workers. Assessments that were developed included an intake assessment to help determine how quickly to initiate a face-to-face investigation, a safety assessment to help determine whether immediate action is needed at the first face-to-face contact, and a strengths and needs assessment to help identify what priority needs should be addressed with services. Participants included Dakota County Social Services; Hennepin County Human Services and Public Health Department Adult Protection Services; Olmsted County Social Services; Ramsey County Community Human Services Department; Steele County Human Services; and Washington County Community Social Services, Adult Family Services Unit.

Texas Department of Family and Protective Services (2012 to present)

NCCD is partnering with the Texas Commission on Health and Human Services to develop and implement the SDM system for APS. Activities include: development of safety, risk, and strengths and needs assessments; preliminary analysis to determine “fit” of the model risk assessment; technical assistance and consultation on integration of assessments into the Texas MIS; development of training curriculum, including web-based training modules; delivery of a training-for-trainers session followed by trainer mentoring and coaching; and a risk validation study.

Approach to Partnership

Project success is dependent upon a strong working relationship between NCCD and the Allegheny County Department of Human Services (DHS). When DHS staff are active participants in the development of SDM assessment and the related practice model, these

systems are better tailored to local needs and more likely to be accepted by line staff. NCCD brings the following strategies to collaboration with agencies.

- *Building a careful understanding of agency practices and context.* NCCD staff will spend time onsite at the beginning of each major development phase to learn how DHS staff work. This means reviewing policy and procedures, meeting staff, conducting focus groups, and surveying staff.
- *Helping the agency build internal capacity to own project activities and outcomes.* There will be a clearly defined NCCD project team, and we recommend that DHS create a steering committee of approximately 10 to 15 staff at different levels of the organization to meet regularly during SDM systems development and implementation. When plans and progress are regularly reviewed by a team that is connected to day-to-day practice, we are able to make better plans together. In addition, the steering committee improves jurisdiction ownership and capacity to sustain change after NCCD's involvement has ended. Ideally, the steering committee would include line workers, supervisors, managers, administrators, and policy staff.
- *Connecting at the line level.* Workgroups for each assessment and project phase are essential. The best decision-support tools are developed when the people who make the decisions daily are involved in their development. For each set of SDM assessments, we recommend that a workgroup of 15 to 20 persons be established, consisting of the line workers who will use the tool daily, their supervisors, program administrators, policy staff, and legal partners. These workgroups will help NCCD customize the SDM assessments for their work area and make training and implementation recommendations.

Implementation and Integration

Technological integration is critical to effective assessment use. NCCD has a wealth of experience integrating SDM assessments into state MIS/case management systems. NCCD has designed and created stand-alone SDM applications and modular add-ons to existing systems and has also participated in the design and integration of SDM projects where the development was conducted by state personnel or system integrators. In order to ensure the best integration, NCCD recommends that the same workgroup approach that will be used to develop SDM assessments be applied to the integration of these assessments into information systems.

PROJECT DESCRIPTION

Project Goals and Objectives

The goal of this project is to improve outcomes for children, families, and vulnerable adults in Allegheny County through improved decision making at the case and agency levels. Final outcomes will be determined by the project team; potential goals include the following.

- In child welfare: Reduced subsequent harm to children (as measured by new investigations, substantiations, and child removals) after an initial CPS investigation.
- In child welfare: Expedited permanency for children who are removed from their homes.
- In child welfare: Reduced rates of placement disruption.
- In adult protection: Reduced rates of recurrence of harm due to abuse or neglect by another or self-neglect.

SDM systems have proven effective in meeting these and similar goals. In CPS, SDM systems have been shown to improve the quality of decision making over professional judgment alone,¹ to accurately classify families by the likelihood of subsequent abuse or neglect,² to improve the equity of outcomes,³ and to reduce subsequent child abuse and neglect while promoting permanency.⁴ In addition, the SDM system for APS has shown accuracy in identifying clients at greatest risk of negative outcomes.⁵

This proposal is based on the following objectives.

1. Assist DHS in the development of SDM assessments for child welfare and APS to help the department increase the reliability, validity, and equity of decisions at critical points in a case.

¹ Gelles, R. J., & Kim, B. (n.d.). *The tipping point of child welfare systems: Decision making, information, and risk assessment*. Philadelphia, PA: School of Social Policy and Practice, University of Pennsylvania. Retrieved from

http://www.sp2.upenn.edu/onechild/current_issues/white_paper_tipping_point.pdf; Johnson, W. (2011). The validity and utility of the California Family Risk Assessment under practice conditions in the field: A prospective study. *Child Abuse & Neglect*, 35(1), 18–28.

² Johnson, W. (2004). *Effectiveness of California's child welfare Structured Decision Making® model: A prospective study of the validity of the California family risk assessment*. Retrieved from California Department of Social Services website:

http://www.nccd-crc.org/crc/pubs/ca_sdm_model_feb04.pdf; D'Andrade, A., Austin, M. J., & Benton, A. (2008). Risk and safety assessment in child welfare: Instrument comparisons. *Journal of Evidence-Based Social Work*, 5(102), 31–56.

³ Loman, L. A., & Siegel, G. L. (2004). An evaluation of the Minnesota SDM Family Risk Assessment. St. Louis, MO: Institute of Applied Research. Retrieved from <http://www.iarstl.org/papers/FinalFRAReport.pdf>; Wood, J. M. (1997). Risk predictors for re-abuse or re-neglect in a predominantly Hispanic population. *Child Abuse & Neglect*, 21(4), 379–389.

⁴ Lee, S., Aos, S., & Marna Miller, M. (2008). *Evidence-based programs to prevent children from entering and remaining in the child welfare system: Benefits and costs for Washington* (Document No. 08-07-3901). Olympia, WA: Washington State Institute for Public Policy; Wagner, D., Hull, S., & Luttrell, J. (1995). The Michigan Department of Social Services risk based Structured

Decision Making system: An evaluation of its impact on child protection service cases. *Ninth National Round Table on CPS Risk Assessment*. Retrieved from http://www.nccdgloball.org/sites/default/files/publication_pdf/mi_1995_cps_eval.pdf; Wagner, D., & Bell, P. (1998). The use of risk assessment to evaluate the impact of intensive protective service intervention in a practice setting. *12th National Roundtable on CPS Risk Assessment*. Retrieved from

http://www.nccdgloball.org/sites/default/files/publication_pdf/uc_1998_roundtable_risk.pdf

⁵ Johnson, K., Park, K., Bogie, A., Flasch, S., & Cotter, J. (2012). *Developing an actuarial risk assessment to inform decisions made by adult protective services workers*. Madison, WI: National Council on Crime and Delinquency. Retrieved from <https://www.ncjrs.gov/pdffiles1/nij/grants/240410.pdf>

2. Collaborate with DHS to develop an enhanced social work practice model that builds upon current practice. This practice model should highlight: (1) tools and interviewing strategies that support the development of good working relationships between clients and agency staff; (2) practices that support enhanced critical thinking; and (3) an ability to do collaborative planning between the agency, the clients they serve, and the networks that support the client.
3. Engage key internal and external stakeholders in a workgroup process designed to support the development, implementation, and evaluation of the work, with the goal of ensuring integrated assessment systems and practice frameworks are both grounded in evidence-based or promising practices and consistent with local community values.
4. Develop a logic model to describe how the changes pursued by DHS will produce better outcomes for children, families, and vulnerable adults and collaborate with DHS data staff to create a plan for tracking system processes, outputs, and outcomes.
5. Provide training and practice coaching on all of the above, particularly on the connection of assessments to daily social work practice and the integration of data into continuous quality improvement efforts.

Services and Consultation

NCCD proposes to work with DHS to customize and implement the SDM system of assessments for CPS and APS by using data to increase reliability and validity and improve decision making by field practitioners. Additionally, NCCD will work with DHS to develop a practice model that will support improved decision making and an approach to using data to improve outcomes. Following are assessment components of each proposed model.

SDM® for CPS

- *Intake assessment.* This assessment helps child abuse hotline staff determine which reports should be accepted for investigation or assessment. Of those reports accepted for a response, the assessment helps the intake worker determine how quickly that response should be initiated.
- *Safety assessment.* Completed at the first face-to-face contact with the family and at any subsequent time in a CPS case when family conditions have changed, the safety assessment helps workers determine whether a child is safe in his/her home (with or without a safety plan) or protective placement is necessary.
- *Risk assessment.* Completed at the end of an investigation, this assessment helps workers estimate the likelihood of a future incident of abuse or neglect in the household. This likelihood helps the worker determine whether the case should continue for ongoing services or be closed at the end of the investigation.

- *Strengths and needs assessment.* Completed at regular intervals throughout a service case, the strengths and needs assessment informs case plan development.
- *Risk reassessment.* For cases in which all children remain in the home, the risk reassessment helps workers track changes in risk level over time to inform the decision to close a case.
- *Reunification assessment.* For cases in which any child is in out-of-home care with a goal of returning home, the reunification assessment helps workers determine when a child may be safely reunified, or when a change in permanency goal should be considered.

SDM® for APS

- *Intake assessment.* This assessment helps hotline workers determine which reports of harm to vulnerable adults should be accepted for investigation and, of those accepted for investigation, how swiftly a response must be initiated.
- *Safety assessment.* Completed at the first face-to-face contact with the client or alleged victim and whenever conditions change, this assessment helps the worker determine whether the client is at imminent threat of serious harm and whether immediate interventions should be offered.
- *Risk assessment.* Completed at the end of an investigation, this assessment helps workers estimate the likelihood of future harm to the vulnerable adult and informs the decision to provide further services or close the case.
- *Strengths and needs assessment.* This assessment assists the worker in making decisions regarding case planning and service referrals.

The specific consultation services to be provided include implementation coordination, assessment customization, practice model development, training and coaching, and data support. NCCD proposes a project of four years to implement improved practice and assessments in child welfare and adult protection. The first two years of the project will focus on child protection implementation and data support. Years three and four will focus on implementation in APS. NCCD recognizes that the current request is for proposals of one year's duration with the possibility of renewal after the first year. However, compressing the work schedule into one year would be disruptive to DHS and would not allow for the thoughtful change management process necessary for successful implementation.

Specific Activities

Implementation Coordination

Throughout the project, NCCD staff will provide ongoing implementation support. This will include providing an orientation and launch meeting for each year of the project, coordination with the steering committee, and implementation planning and monitoring. At the beginning of each phase of the project, NCCD will conduct a baseline assessment to review policy and statute and conduct data analysis to fully understand the problems to be addressed. This baseline assessment will be used with the steering committee to refine the project timeline and problem definitions and to develop a logic model for how project activities will address the problems identified. NCCD will develop an implementation plan with the steering committee that describes how key stakeholders will be engaged, how the project outcomes will be monitored, and how success will be evaluated.

SDM® System Customization and Practice Model Development

The customization of all assessments and development of the practice model will be facilitated by NCCD staff in workgroup settings. Workgroup members should include key program staff who are familiar with service delivery procedures. Staff from the specific units using the assessments should be represented in the appropriate groups. In these workgroups, NCCD's role is to familiarize local staff with the goals, principles, and procedures of an SDM assessment process and to facilitate the development of local assessment procedures. The experience gained from other NCCD research and implementation efforts will be used to guide development of the agency's SDM systems, and workgroups will adapt these models to their own service delivery system. This approach has proven effective in other projects by:

- Allowing each agency to revise procedures to account for differences in statutes, in definitions of abuse/neglect, and in how agencies interact with other stakeholder agencies (law enforcement, community-based resources, etc.); and
- Ensuring face validity; promoting ownership; and, ultimately, line-staff acceptance of the system.

To maximize efficiency, NCCD will establish specific goals, objectives, and timeframes for each workgroup to complete its task. One or more NCCD staff members will be assigned to work with each group to facilitate meetings and develop materials necessary to attain all goals and objectives. Meetings will be held in the most convenient locations possible to limit travel expenses and travel time. It is likely that five workgroups will be established.

1. Intake workgroup
2. CPS investigation workgroup
3. CPS ongoing services workgroup
4. CPS practice model workgroup
5. APS investigation and services workgroup

Each workgroup will work with NCCD staff to tailor SDM assessments and practice strategies to local conditions (including policy and statute, local practices, and staffing conditions). Whenever applicable, workgroups will assist NCCD staff in testing assessments and practice strategies and will make recommendations for training and integration into information systems. Work produced by each group will be integrated into the total project, with NCCD

responsible for ensuring “system fit.” All draft workgroup products will be reviewed by the SDM steering committee prior to finalization.⁶

Intake Workgroup

The SDM intake assessment consists of two components: (1) screening, and)2) response priority. The screening assessment is used by workers each time a report alleging child or adult maltreatment is received. The assessment helps a worker determine whether a report describes a situation requiring a child or adult protection response. Screening thresholds are based on local legal and regulatory requirements. The assessment helps workers by operationalizing these requirements for increased consistency.

If a response is needed, the response priority assessment assists workers in determining how quickly contact must be made with the family or client to begin an investigation or assessment. This helps ensure that a rapid response is initiated when immediate danger is likely, while identifying those referrals that can be assigned for a delayed response in order to better manage agency resources.

The intake assessment workgroup will review a draft assessment prepared by NCCD after a review of policy and procedures, assist in testing the reliability of the assessment, and provide recommendations for training and implementing the assessment within the county’s information technology systems.

CPS Investigation Workgroup

The investigation workgroup will collaborate with NCCD on SDM safety and risk assessment customization.

The SDM safety assessment is designed to assist child welfare workers who investigate CPS incidents to make the decision of whether to leave a child in the home while interventions to reduce potential harm to the child are put into place. It is a difficult decision with major implications for the children’s safety, children’s long-term psychological development, family functioning, worker liability, and the professional image of the agency. To address this concern, NCCD has worked with several jurisdictions to develop safety assessment protocols with accompanying, contemporary family- and safety-centered social work practices that support increased safety for children.⁷

At the onset of an investigation, workers must engage families, develop a good working relationship, assess potential dangers to children, and develop and implement appropriate safety plans with extended family, networks, and community providers. The SDM safety assessment facilitates these tasks by supporting workers to:

⁶ The agency will be responsible for convening a core group of administrators and program managers as well as key individuals from other stakeholder groups, as desired, to serve on the SDM steering committee. This committee will convene periodically to finalize and approve materials and work products from the various workgroups and will work with NCCD project staff on the design of training, implementation, and an ongoing quality assurance plan.

⁷ Safety assessment protocols were adapted from a model originally developed in New York.

1. Focus attention on a set of 10 to 12 clearly defined conditions that represent threats to child safety;
2. Identify the interventions needed to control and remediate any unsafe condition(s);
3. Use social work practices that seek to enhance the daily safety of children; and
4. Develop a safety plan to allow the children to remain in the home whenever possible.

The SDM safety assessment can accomplish the following.

- Help workers assess whether and to what extent any children are being harmed or could be harmed in the near future.
- Sort potential acts of harm or danger from complicating factors.
- Determine what actions of protection parents/caregivers have already taken to address the danger and whether the actions are sufficient to protect the child.
- Determine what interventions should be initiated or maintained to provide appropriate protection.
- Establish criteria for emergency removal if sufficient protection cannot be provided.
- Link all of the above to practice strategies that help parents, caregivers, and age-appropriate children understand the reasons for referral, the potential danger concerns, and what steps are being taken to control for the danger.

In contrast to the SDM safety assessment, which focuses on the short-term threat of serious harm to a child, the SDM risk assessment focuses on the likelihood of long-term harm. The risk assessment of abuse/neglect developed by NCCD is a research-based assessment that estimates the likelihood that a family will again become involved with CPS due to a subsequent incident of maltreatment. This assessment was developed by conducting actuarial research in several jurisdictions that examined the relationship between family characteristics and child welfare case outcomes. The risk assessment incorporates a range of family characteristics (e.g., number of prior referrals, children's ages, and caregiver behaviors) that have all demonstrated a strong correlation with subsequent child abuse/neglect referrals.

As a first step in the development process, NCCD research staff will conduct a preliminary analysis of the agency's administrative data to examine how the model SDM risk assessment might be expected to perform. This type of analysis examines how similar Allegheny County's client population is to the client population on which the adopted risk assessment was

validated. This analysis begins with a comparison of client demographics and outcome rates (rates of subsequent CPS involvement). Additionally, it is often possible to estimate the risk level classification that would result from the adopted risk assessment based on families' prior CPS history, sampled allegations, and identification of family issues. This estimate of how the adopted risk assessment would classify families served by the agency provides valuable information about the accuracy of the resulting risk classification as well as workload estimates for service delivery, such as the proportion of families classified as high and very high risk. These analyses are cost-effective and help agencies plan for successful implementation. They are based on administrative data and therefore cost significantly less than a full validation study.

Preliminary examination is a step that may precede a comprehensive validation study, but it is not a substitute for it. A comprehensive study can examine individual risk assessment items, their assigned statistical weights, and client subgroup outcomes over a longer follow-up period (typically 12 months or longer). In general, NCCD only revises the risk assessment as a result of a validation study. NCCD recommends that DHS conduct a validation study approximately every five years.

The risk assessment consists of two indices (abuse and neglect) that are used to classify families into risk groups that have high, medium, or low probabilities of continuing to abuse or neglect their children. For instance, in many of NCCD's risk assessment studies it has been possible to identify "high-risk families—those with a 50% or higher probability of a future allegation of abuse or neglect—at the completion of the investigation. Identifying low-risk families, whose chances of subsequent maltreatment were 5% or lower, has also been possible. Research has shown that in most situations, actuarial instruments estimate the risk of future maltreatment more accurately than a trained individual unaided by actuarial information.

The workgroup will review results the data analyses conducted as part of system design, particularly the preliminary risk assessment data analysis. Because of the research basis of the risk assessment, adaptations will be limited to terminology, definition clarifications, policy overrides, and supplemental data collection items.

CPS Ongoing Services Workgroup

The ongoing services workgroup will make recommendations for the customization and implementation of the ongoing services assessments in the SDM for CPS system, namely the family strengths and needs assessment (FSNA), risk reassessment, and reunification assessment.

The FSNA is used to evaluate the presenting strengths and needs of each family member after the investigation and in ongoing work with the family. Its purpose is not to establish a single "reason" for family member behaviors but to identify priority areas to address in the case plan. For example, certain behaviors likely will lead to a more serious, ongoing impact on a child than others and therefore should be a priority in any case or service planning.

The FSNA serves several other important purposes.

- It ensures that all workers consider each family's/child's strengths and weaknesses in a clear, consistent format when assessing need for interventions.
- It provides an important case-planning reference for workers and first-line supervisors, which can eliminate long, disorganized case narratives and reduce paperwork.
- It provides a basis for monitoring whether appropriate service referrals are made.
- The initial FSNA, when followed by periodic reassessments, permits caseworkers and supervisors to easily assess changes in family/child functioning and thus monitor the impact of our interventions on the case.
- It provides management with aggregated information on the issues client families/children face. These profiles can then be used to develop resources to meet client needs.

The initial assessments of risk and service needs are followed by routine reassessments, which are conducted at established intervals (generally every 90 days) as long as the case is open. Case reassessment ensures that any changes in risk or family service needs will be considered in later stages of the service delivery process and that case decisions will be made accordingly. Case progress will determine whether a lower or higher service level is needed or if the case can be closed. In most agencies, the risk and needs assessment/reassessment instruments have become formal case planning documents, thus reducing the need for long case narratives and other paperwork. The time saved is available to serve families.

Reassessments of risk include two SDM assessments; which assessment to use depends on whether a child is in out-of-home care.

- *Risk reassessment (for in-home cases).* At regular intervals during a case, risk is reassessed to determine whether family services should continue at the same intensity. This is accomplished using the risk reassessment for in-home cases. For cases where the child remains with his/her family and services are provided, the risk reassessment, completed every 90 days in many jurisdictions, is used to ensure that any changes in risk will be considered in later stages of the service delivery process and that case decisions will be made accordingly. Case progress will determine whether a lower or higher service level is needed or if the case can be closed.
- *Family reunification assessment (when at least one child is in out-of-home care).* In collaboration with other states, NCCD has applied the principles of standardized assessment and the SDM model to the reunification of families with children in foster care. The intent of the reunification assessment is to ensure that local and federal

policies regarding reunification, permanency planning for children, and termination of parental rights are effectively translated into practice. To this end, the model establishes presumptive guidelines for children in care based on: (1) risk of future maltreatment, (2) safety of the home environment, and (3) demonstrated parental interest and involvement in the lives of their children.

CPS Practice Model Workgroup

One critical piece in enhancing the SDM system is the strengthening of worker and supervisor social work practices. While SDM assessments improve an organization's consistency and accuracy in decision making, social worker practice also needs to be strong and rigorous in order for organizations to see the change in outcomes that they are hoping for. For child protection staff, we recommend the formation of a stand-alone workgroup for practice model development that includes members of the intake, investigation, and ongoing services workgroups. For APS staff, we recommend that the APS investigation and services workgroup provide guidance for the development of a practice model in addition to the customization of SDM assessments.

NCCD has developed approaches for strengthening social work practice and connecting those practices to the SDM system. NCCD considers the following areas when working with jurisdictions on integrated practice.

1. Building good working relationships.
 2. Critical thinking.
 3. Safety planning and case planning.
 4. Supervision and organizational infrastructure.
-
1. *Building good working relationships.* Strategies such as solution-focused interviewing, motivational interviewing, and three-column mapping help workers to develop deeper, more authentic dialogues with clients, families, parents, caregivers, children, and extended family networks about creating safety for children and vulnerable adults. Practice strategies such as Three Houses, The Safety House, and Words and Pictures help workers have more genuine communications with children to gather more information. Strategies such as safety circles, genograms, and ecomaps help workers to identify resources close to the client or family in order to help make thorough safety plans.
 2. *Critical thinking.* Critical thinking is a process of examining the client's or family's situation and organizing it in such a way that anyone working with the client or family—worker, supervisor, community partner, the family itself—can comprehend it. This kind of organization allows staff to understand what they know, what they think they know, and where assumptions might be coming into play. SDM assessments support critical thinking and can be used to help create risk or danger statements, which help to ensure that everyone involved understands why child welfare or adult

protection is involved and what needs to be done to ensure future child or vulnerable adult safety.

3. *Safety and case planning.* Planning in this enhanced approach involves being clear that safety and services are not the same thing. In the enhanced practice skills that NCCD teaches, workers learn to create collaborative, behavior-specific, action-driven case plans and safety plans with the client or family and extended network of family, friends, and providers. These plans include the use of formalized services but also ensure that the “finish line” is clear from the beginning of the planning process.
4. *Supervision and organizational infrastructure.* For any of the above to be effective, integrated practices and assessments have to be mirrored in ongoing supervision and organizational structure. NCCD currently teaches an approach to both individual and group supervision and consultation that help to embed these practices with the SDM assessments across the organization. Additionally, NCCD can work with jurisdictions to ensure that these practice skills and assessments can be integrated with other practice reforms being considered (such as trauma-informed practice).

APS Investigation and Services Workgroup

The APS investigation and services workgroup will collaborate with NCCD on the customization of the SDM for APS safety, risk, and strengths and needs assessments.

The SDM safety assessment is designed to help APS workers determine when a vulnerable adult is at imminent threat of serious harm and when emergency interventions should be offered. The safety assessment helps workers balance client safety with the need to preserve the client’s right to self-determination.

At the onset of an investigation, workers must engage clients, develop a good working relationship, assess potential dangers to clients, and develop and implement appropriate safety plans with extended family, networks, and community providers.

In contrast to the SDM safety assessment, which focuses on the short-term threat of serious harm to a vulnerable adult, the SDM risk assessment focuses on the likelihood of long-term harm. The risk assessment of abuse/neglect developed by NCCD is a research-based assessment that estimates the likelihood that a vulnerable adult will again become involved with APS. This assessment was developed by conducting actuarial research in New Hampshire that examined the relationship between client and incident characteristics and adult protection outcomes. The risk assessment incorporates a range of characteristics (e.g., number of prior referrals, client’s age, and client or caregiver behaviors) that have all demonstrated a strong correlation with subsequent referrals.

As a first step in the development process, NCCD research staff will conduct a preliminary analysis of the agency’s administrative data very similar to the analysis recommended for the SDM for CPS risk assessment. Preliminary examination is a step that may precede a

comprehensive validation study, but it is not a substitute for it. In general, NCCD only revises the risk assessment as a result of a validation study. NCCD recommends that DHS conduct a validation study approximately every five years.

The risk assessment consists of two indices (mistreatment by another and self-neglect) that are used to classify clients into risk groups that have high, medium, or low probabilities of a future APS incident. The workgroup will review the results of the data analyses conducted as part of system design, particularly the preliminary risk assessment data analysis. Because of the research basis of the risk assessment, adaptations will be limited to terminology, definition clarifications, policy overrides, and supplemental data collection items.

The strengths and needs assessment (SNA) is used to evaluate the presenting strengths and needs of the APS client and caregiver (if applicable) to inform ongoing work with the client. The purpose of the SNA is to identify the root causes of the current incident and the causes likely to result in a future incident so that future negative events may be prevented.

Training and Coaching

NCCD offers several approaches to training and coaching the SDM assessments and the enhanced practice model. Our favored approach focuses on building organizational capacity in DHS to continue to support the implementation long after NCCD involvement has ended. For this reason, we recommend a training-for-trainers and training-for-coaches model. This model may be supplemented by web-based trainings that support the consistency of information sharing regarding the new assessments and practices while freeing up classroom time to be more interactive and activity-based.

An important element of this proposal is the recommendation that DHS make use of both training and coaching during implementation. Training and coaching are often used interchangeably, but this proposal assigns specific meanings to each of them.

While *training* is a key element in helping small groups of people to learn the different facets of a practice, the outcome research on large, one-day group trainings is decidedly mixed. While training offers a good format for beginning a project and orienting staff, it is often less useful for supporting successful transfer of learning to the workplace. *Coaching*, as we conceptualize it, refers to regular training and practice with small groups, held at local and/or regional offices by someone with dedicated time to deliver material and help increase staff understanding of a new model over time. In our experience, successful implementation of integrated practices with the SDM system includes both training and coaching.

After training local trainers and coaches, NCCD will continue to facilitate web-based discussions with staff to ensure that they have sustained support, mentoring, and learning opportunities. These discussions—about best practices, challenges, and strategies for overcoming them—help to support staff in the trainer or coach roles.

Data Analysis to Support Implementation

NCCD proposes to help DHS use data to support the implementation of SDM assessments and the enhanced practice model in two ways: through the SafeMeasures system and through special topics data analytics.

NCCD will work with DHS staff to add measures to their existing SafeMeasures system to track the success of SDM assessment implementation. This service is included in Allegheny County's ongoing SafeMeasures contract.

Special topics data analytics provide in-depth analysis, research, and technical assistance on specific areas of interest to DHS. SDM system implementation should be examined to monitor progress; identify issues; and provide management with useful information for policy, program, and budgetary decisions. During an annual onsite implementation meeting at the start of each project year, NCCD staff will work with the steering committee to define two to three questions about implementation success through data analysis.

NCCD research analysts will work with the DHS steering committee to provide the following.

- *Data analysis.* NCCD will work with DHS to obtain critical data necessary for implementation analysis.
- 1. *Remote support.* NCCD will conduct two to three remote web-based trainings to DHS to present findings and share methods.
- 2. *Detailed memo.* NCCD will produce two to three detailed memos on SDM implementation to identify data integrity issues or completion rates, provide aggregate analysis of critical SDM decision points, or report on other implementation topics suggested by DHS.

Information Technology Integration

NCCD will provide design and consultation services to DHS's IT staff on the integration of SDM assessments into the county's MIS based on the approved business design (final SDM Policy and Procedures Manual, to-be business processes/case flow). NCCD will work with the department to develop a comprehensive system requirements specification that will provide detailed direction for implementation of the requirements. This integration could be integration into an existing system or could involve the development of a stand-alone data system that is linked to the existing system to minimize data reentry.

NCCD will:

1. Provide assistance in the creation of SDM software requirement specification and provide a guidance document that includes must-have and want-haves.

2. Require participation in the certification testing in order to certify that the SDM assessments implemented within the client management system meet minimum requirements for form functionality and scoring.

Project Timeline

Activities included in this proposal will be implemented in a four-year plan as follows.

September 2014 – February 2015

1. Creation of implementation team and implementation plan.
2. Customization of SDM assessments through the workgroup process for intake, CPS investigations, CPS ongoing services, and practice model.

March 2015 – August 2015

3. Collaboration with DHS IT staff/vendor on integration of assessments into existing systems.

September 2015 – February 2016

1. Ongoing implementation support and definition of implementation goals for Year 2.
2. Training and coaching of SDM intake assessment, SDM for CPS assessments, and practice model.
3. Development of SafeMeasures metrics for the SDM system for CPS.

March 2016 – August 2016

1. Ongoing coaching support for SDM assessments and practice model.
2. Data analysis to support implementation.

September 2016 – February 2017

1. Ongoing implementation support and definition of implementation goals for Year 3.
2. Ongoing coaching support for previously implemented SDM assessments and practice model.
3. Data analysis to support implementation.
4. Customization of SDM system for APS assessments through the workgroup process.

March 2017 – August 2017

1. Collaboration with DHS IT staff/vendor on integration of assessments into existing systems.
2. Data analysis to support implementation.

September 2017 – February 2018

1. Ongoing implementation support and definition of implementation goals for Year 4.
2. Training and coaching of SDM system for APS assessments.
3. Development of SafeMeasures metrics for the SDM system for APS.

March 2018 – August 2018

- Ongoing coaching support.
- Data analysis to support implementation.

Previously Developed Tools/Systems

Examples of previously developed tools/systems can be found in Appendix A.

Staffing Plan

NCCD staff are highly skilled project managers and researchers with a range of professional experience from a broad array of social systems, including adult and juvenile criminal justice, child welfare, and adult protection/elderly services, as well as public policy and technology.

Shannon Flasch, MPA, CRC associate director, will be the principal investigator on the project. Ms. Flasch has implemented SDM systems for CPS, APS, and foster care support in multiple jurisdictions, including Nebraska, Minnesota, Texas, California, and Delaware. She earned her MPA from the Wagner School at New York University.

Phil Decter, MSW, CRC associate director, will serve as practice model development lead. Mr. Decter is a social worker and family therapist who has worked with children and families in inpatient, outpatient, home-based, foster care, and emergency room settings for 20 years. Through CRC, Mr. Decter works with child welfare organizations nationally as a trainer and consultant on the implementation of strengths-based and safety-organized practice skills and their integration with the SDM system.

Amy Cipolla-Stickles, senior program specialist, will be an SDM assessment development team member on the project. Ms. Cipolla-Stickles' work at NCCD draws from more than 15 years of experience in multicultural leadership and facilitation, including five years of experience as the diversity initiatives program manager for the Massachusetts Department of Children and Families, where she codesigned and implemented the diversity training curricula for social workers and managers.

In her trainings, Ms. Cipolla-Stickles works with child welfare social workers, administrators, supervisors, and officials to develop tools they can use to better deconstruct aspects of diversity that matter in clinical case decisions and supervision.

Mollie Warren, MST, MPA, program associate, will serve as a practice model development team member. Her primary work is to assist child welfare agencies in their implementation of strengths-based, solution-focused social work skills. Prior to this, Ms. Warren worked extensively in child welfare in the state of Colorado—as a caseworker, a practice coach, and eventually as the state intake administrator and differential response project lead. She has two master's degrees: one in public administration from the University of Wyoming and another in teaching from Pace University, New York City.

Sue Gramling, JD, senior program specialist, joined NCCD in 1998. She received her law degree in May 1996 from the University of Wisconsin–Madison and focuses her legal practice on work as a guardian ad litem, guardianships, custody issues in family law, and special education law. Ms. Gramling has developed an expertise in working effectively with social service, educational, juvenile justice, and health care systems. Her experience in system design includes projects such as a statewide telecommunication relay service, training programs on the Americans with Disabilities Act, and the restructuring of Milwaukee County’s Birth-to-Three program. Ms. Gramling will be an SDM assessment development team member on the project.

Nichole Brynn Carlisle, MSW, program associate, will be a member of the SDM assessment development team. She joined the NCCD team in 2013. She has experience working with youth in a group home setting, as well as several years of experience working in the community with adults with developmental disabilities. Ms. Carlisle earned a bachelor’s degree in social welfare with honors in the liberal arts from the University of Wisconsin (UW)–Madison. After working for several nonprofits, she returned to UW-Madison for a master’s degree in social work.

Shanna Dean joined NCCD in 2014 as a program associate. Previously, Ms. Dean served as a youth development volunteer in the US Peace Corps in Morocco; a unit director for the Boys & Girls Club in Rochester, Minnesota; and an education policy analyst for the Wisconsin Center for Education Research at the University of Wisconsin–Madison. She holds an MS in public policy and management from Carnegie Mellon University in Pittsburgh, Pennsylvania. She will serve as an SDM assessment development team member on the project.

Erin Wicke Dankert, an NCCD researcher, specializes in data collection, interpretation, and analysis. In addition to navigating complex data management systems to complete ad hoc reports for child welfare agencies, Ms. Wicke Dankert contributes to studies in child protective services, adult protective services, education, and juvenile justice, including risk fit and validation studies, inter-rater reliability studies, and management reports. Prior to joining NCCD in 2006, she was employed with the Wisconsin Longitudinal Study at UW–Madison as an undergraduate research assistant. Ms. Wicke Dankert holds BS degrees in statistics, psychology, and sociology with a concentration in analysis and research from UW–Madison. She will serve as both an SDM assessment development team member and a data team member.

Sarah Covington, MPH, will be an SDM assessment development team member and data team member on the project. Ms. Covington joined the NCCD Madison office as a researcher in 2013. She has a master’s degree in public health from UW–Madison, where she focused on epidemiology with an interest in the social determinants of health. Prior to this, Ms. Covington worked for the Wisconsin Department of Health Services coordinating data collection and analysis for a report documenting health disparities in the state.

Timothy J. Connell, PhD, director of application development, will serve as the consultant to the IT vendor. Dr. Connell focuses on creating systems that help users leverage information to make better decisions and improve practice. He draws on his background in educational research and software development. Dr. Connell is the designer and developer behind SafeMeasures, NCCD's analysis and reporting service. He also designed and developed the SDM applications embedded within a number of state child welfare case management systems, as well as the framework for NCCD's numerous web-based data collection and assessment applications.

Ganesh Ramasamy, NCCD systems engineer, will also serve as a consultant to the IT vendor for the project. Mr. Ramasamy is a software architect and developer for SafeMeasures and data collection applications. Prior to this, he worked as a software developer for a health care software provider to develop solutions used by physicians, nurses, and analysts to access and analyze complex patient data. As a member of the analytics team, he participated in the design and development of reporting infrastructure applications using various technologies, such as Java, C#, VB, Cache, SQL, and SAP Business Intelligence tools. Mr. Ramasamy has experience implementing continuous integration for web applications, developing web applications using J2EE technologies, and providing internal technical training to employees.

Full resumes can be found in Appendix B.

REFERENCES

Leesa Rosenberg
Child Welfare Services Manager
San Diego Health and Human Services Child Welfare Services
4990 Viewridge Ave.
1st Floor MS-W478
San Diego, CA 92123
(858) 514-6639
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Amelia Perez-Gutierrez
744 P St., MS 8-11-87
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(916) 657-0292
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Aging and Adult Services Division
Adult Protection
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NCCD's risk assessment for adult protective services was developed under a grant from the National Institute of Justice, and is public domain. However, all other SDM assessments are the intellectual property of NCCD, and the following language is required in all NCCD/CRC contracts.

The National Council on Crime and Delinquency (NCCD) has developed and owns all intellectual property rights, title, and interest, including copyrights in Structured Decision Making® (SDM®), a case management decision-making protocol for child protective services, adult protective services, family prevention services, and substitute care providers consisting of various components, including but not limited to screening criteria, risk assessment, policies, procedures, manuals, and software.

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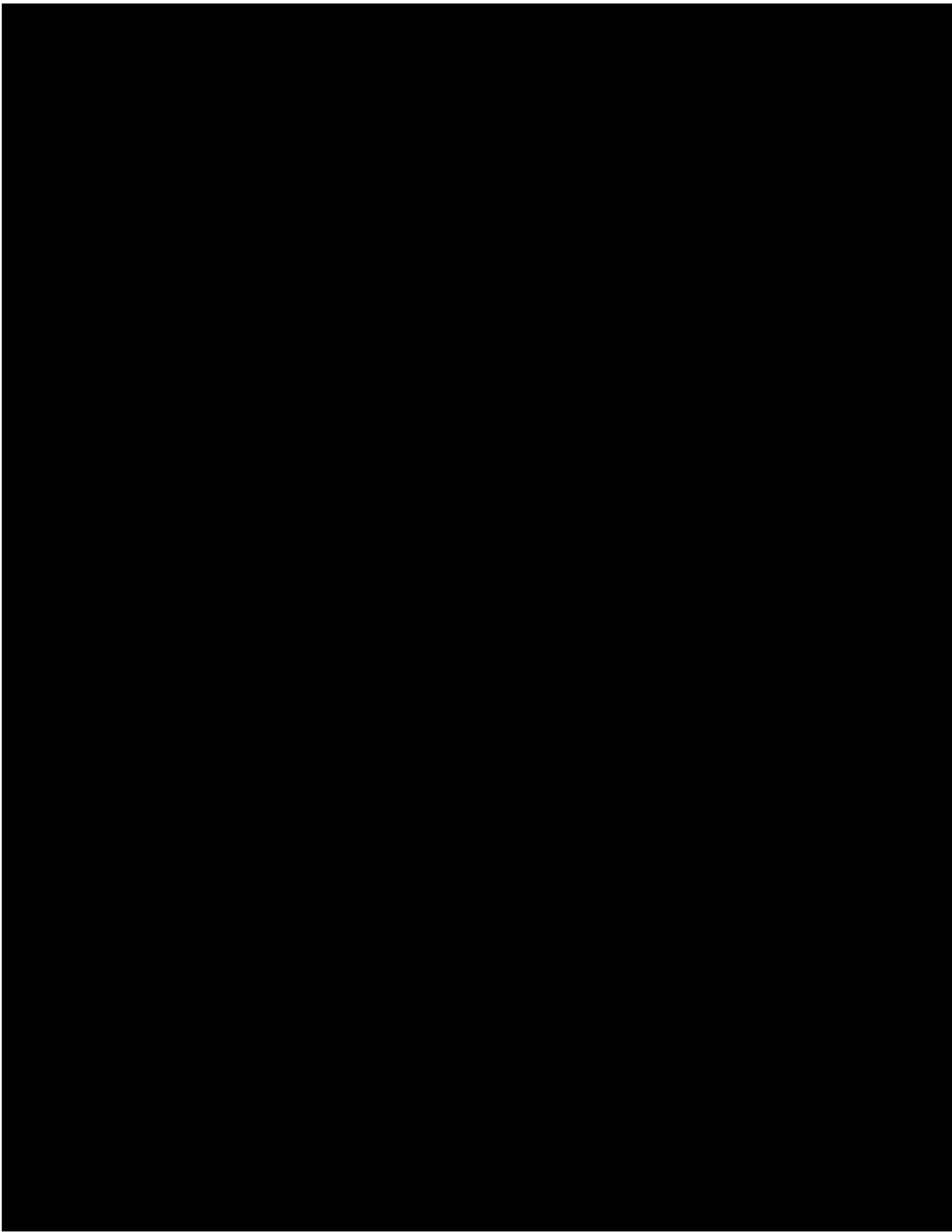
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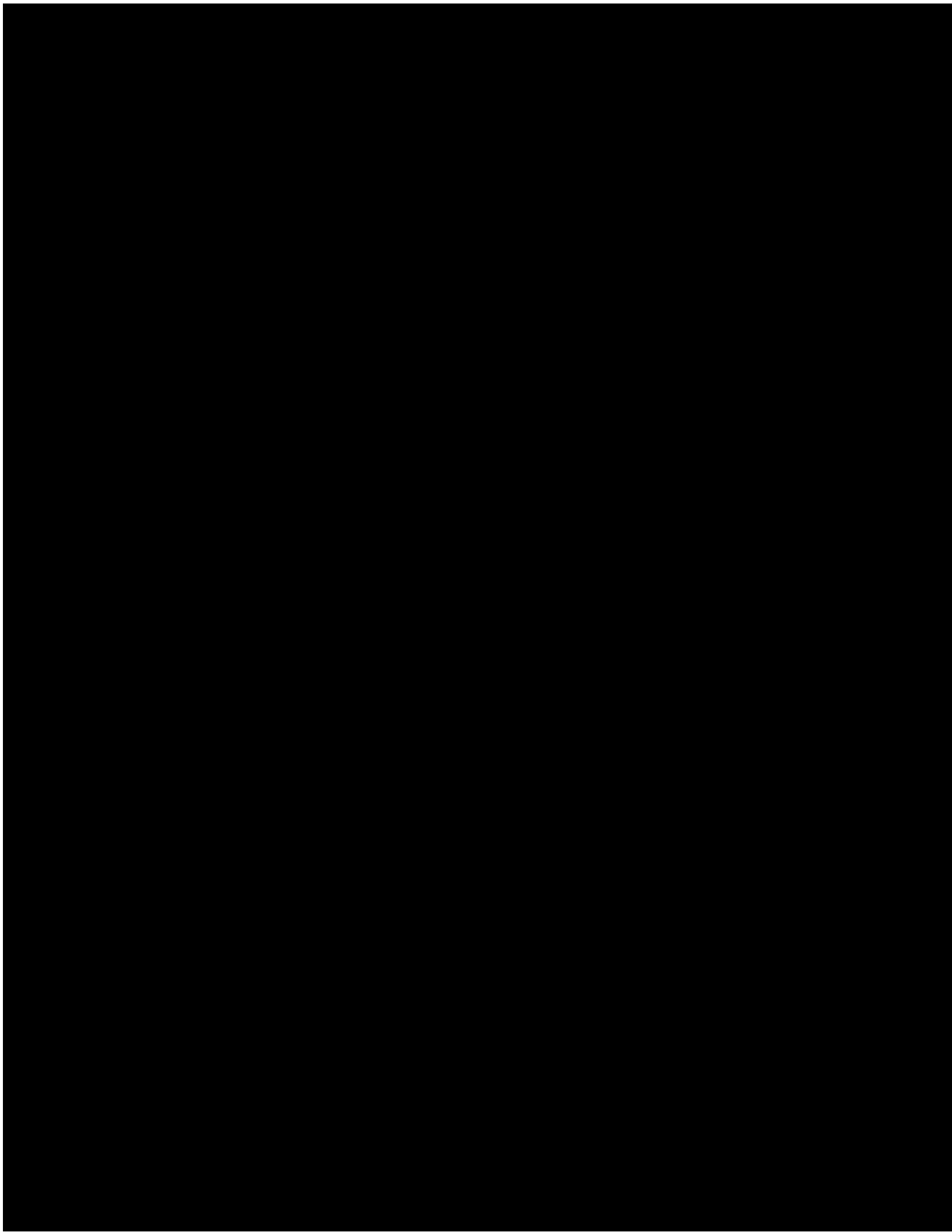
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Appendix A

Previously Developed Tools/Systems

CPS Tools





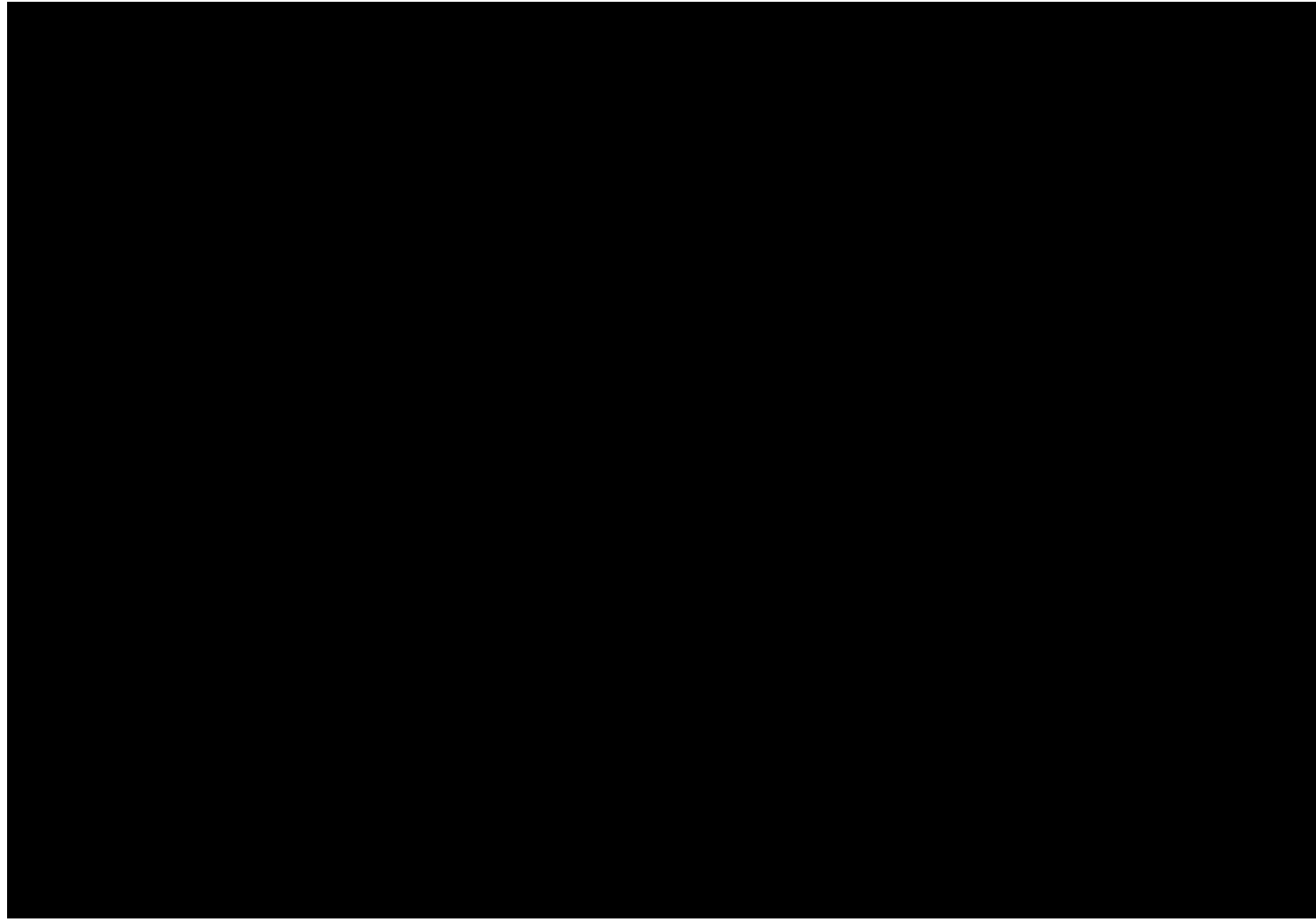
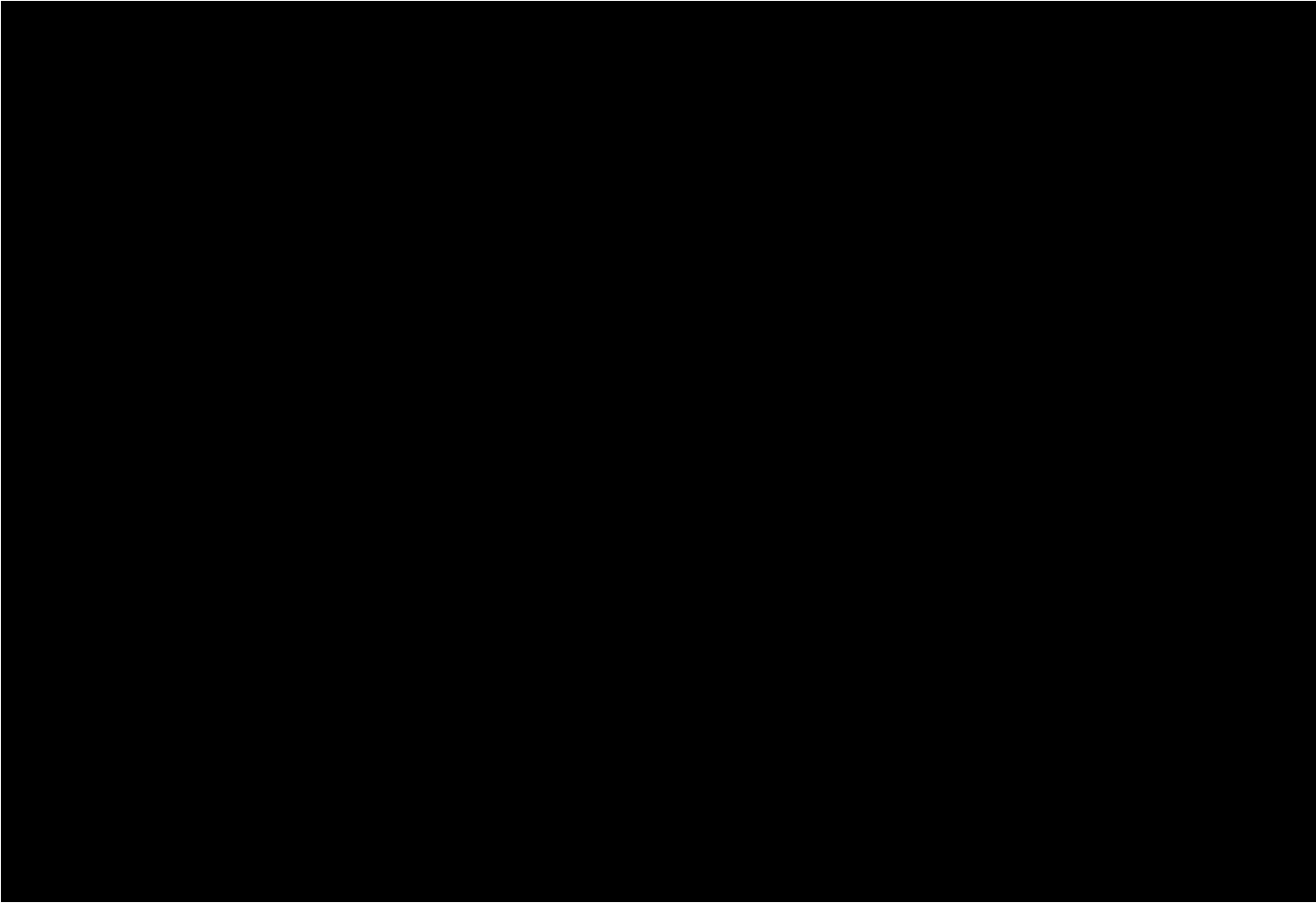
APS Tools

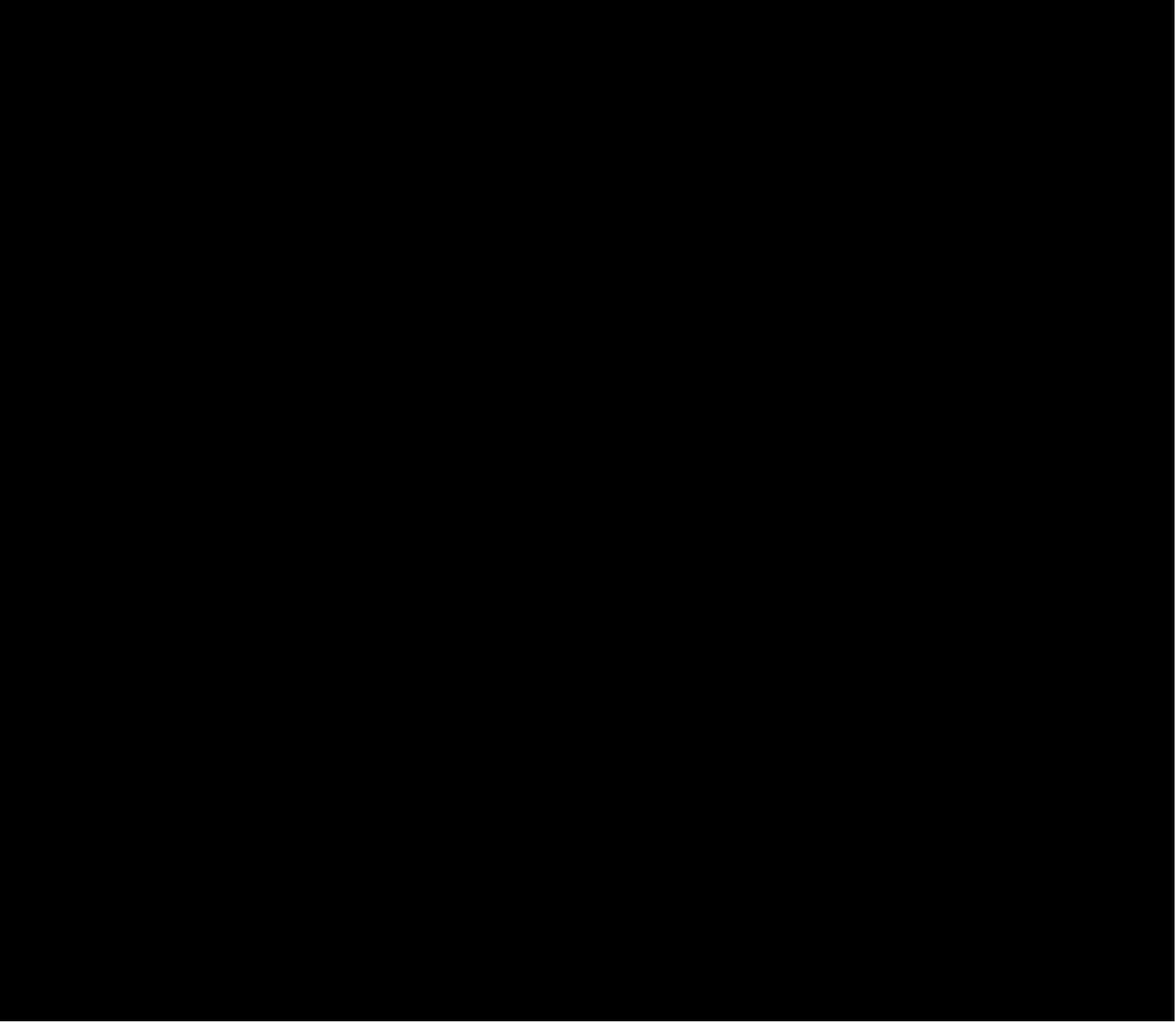
The first part of the paper discusses the importance of understanding the cultural context of the research. It highlights the need for researchers to be sensitive to the values and beliefs of the communities they are studying. This is particularly important in the field of health care, where cultural differences can significantly impact patient outcomes.

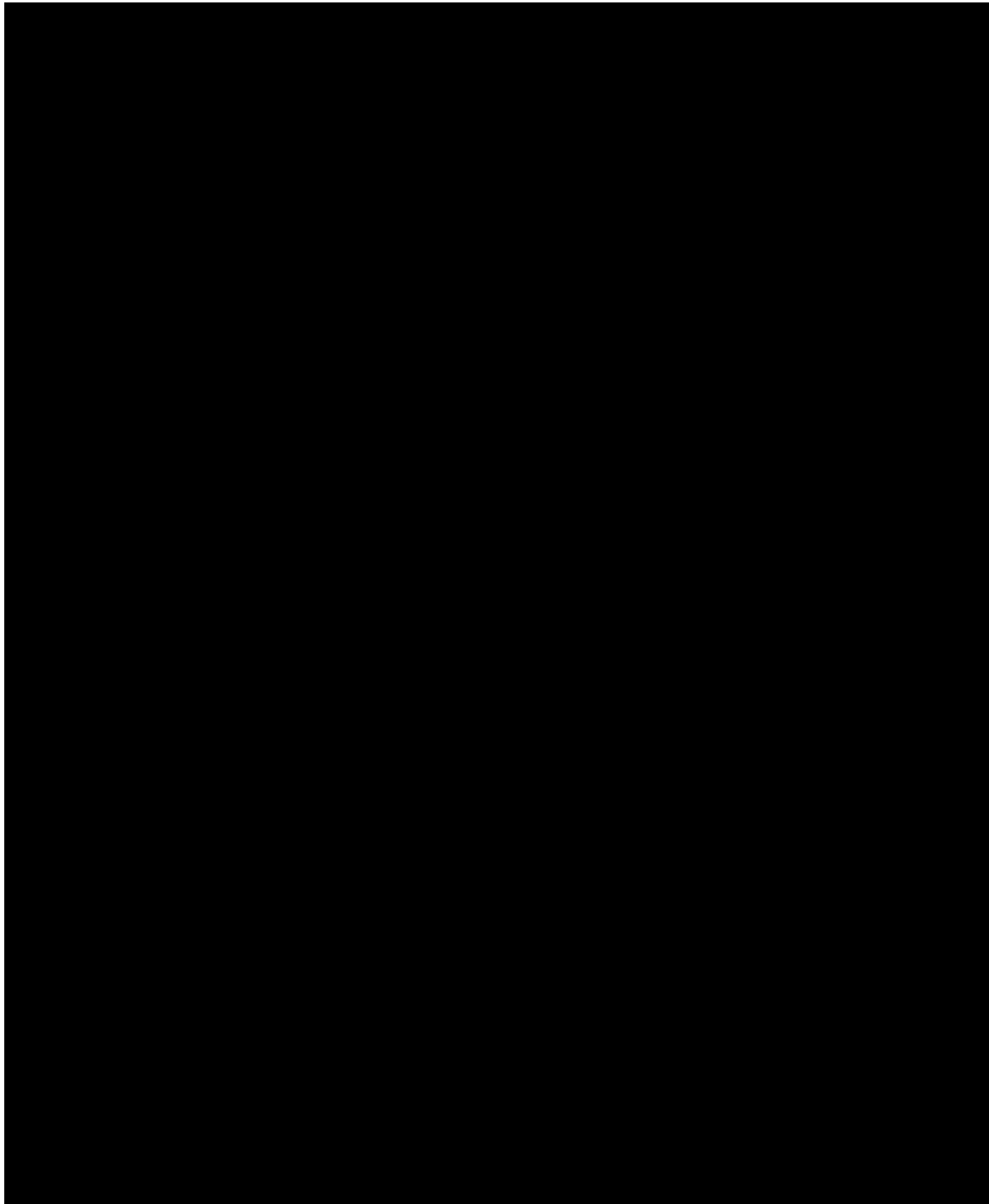
The second part of the paper focuses on the methodology used in the study. It describes the process of selecting participants and the data collection methods. The researchers used a combination of qualitative and quantitative approaches to gather data. This allowed them to explore the cultural beliefs and practices of the participants in depth while also measuring specific variables.

The results of the study are presented in the third part of the paper. The findings show that there are significant differences in health beliefs and practices between the two groups. These differences are largely influenced by cultural factors. The researchers conclude that these findings have important implications for the development of culturally sensitive health care interventions.

In conclusion, the paper emphasizes the importance of cultural competence in health care. It argues that health care providers must be able to understand and respect the cultural differences of their patients in order to provide the best possible care. The study provides valuable insights into the cultural beliefs and practices of the participants, which can be used to inform the development of more effective health care interventions.







Appendix B

Staff Resumes

SHANNON FLASCH, MPA
426 S. Yellowstone Dr., Ste. 250
Madison, WI 53719
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EDUCATION

Master of Public Administration, public and nonprofit management and policy, Wagner School of Public Service, New York University, 2006

Bachelor of Arts, *magna cum laude*, Mount Holyoke College, South Hadley, MA, 1999

EXPERIENCE

ASSOCIATE DIRECTOR

7/2012 – Present

SENIOR PROGRAM SPECIALIST

2008–2012

National Council on Crime and Delinquency (NCCD), Madison, Wisconsin

- Coordinate and support projects with social service agencies in child protection, adult protection, and TANF to develop and implement tools to improve consistency and validity in agency decision making. Collaborate with research staff to gather data regarding reliability and efficacy of decision-making systems and tools and to write reports and articles to disseminate research findings. Develop and deliver training curricula to assist agencies in the implementation and support of assessment tools and systems.
-

PROGRAM ASSOCIATE

2007–2008

NCCD

- Works with senior program associates on Structured Decision Making® (SDM) projects in different states, focusing on case reading, technical assistance, and SDM® training. Performs literature reviews to examine the existing evidence on emerging approaches to adult and child protective services and their relevance to the SDM system.
-

COORDINATOR

2007

New Project Development, the William T. Grant Foundation, New York, NY

- Supported the president in the creation of new programs and in the revision and improvement of existing processes. Developed performance indicators system to measure, track, and report on the foundation's performance in key areas. Served on systems integration group to improve connections among IT systems at the foundation.
-

SPECIAL ASSISTANT

2003–2007

Program and Research, the William T. Grant Foundation

- Supported the president's activities in reviewing and improving grantmaking. Designed post-award review database to track grantee reports and related staff follow-up, and trained grantmaking staff in use of system. Coordinated first two years of Distinguished Fellows program. Assisted senior staff with subject summaries to place the foundation's research grants in the context of work conducted and funded by others.
-

ASSISTANT TO THE EXECUTIVE OFFICE

2002–2003

The William T. Grant Foundation

- Provided administrative support to the president's office. Assisted in researching and drafting the president's speeches, essays, and articles. Served on staff grantmaking committee.
-

PROGRAM COORDINATOR FOR EDUCATION

1999–2002

English-Speaking Union of the United States, New York, NY

- Coordinated National Shakespeare Competition. Wrote curriculum and selected participants for online Shakespeare project. Wrote articles for monthly newsletter for English language learners. Assisted in English language tutoring program, including volunteer management and student assignments.
-

PUBLICATIONS AND PRESENTATIONS

2010

Johnson, K., Flasch, S., Park, K., & Wagner, D. *Developing the Welfare-to-Work Participation and Employability Appraisal Screening: A Retrospective Study*. Madison, WI: Children's Research Center.

- 2010 Park, K., Johnson, K., Flasch, S., & Bogie, A. *Structuring Decisions in Adult Protective Services*. Madison, WI: National Council on Crime and Delinquency.
- 2008 Johnson, K., Bogie, A., Flasch, S., & Wagner, D. *Feasibility and Design of an Adult Protective Service Risk Validation Study*. Madison, WI: National Council on Crime and Delinquency.
- 2005 Flasch, S., & Seidman, E. *Chaos: The Collision of Trends and Policies in the Education of Immigrant Youth*. Society for Research in Child Development Biennial Conference (panel presentation).
- 2005 Hein, K., & Flasch, S. Adolescence: Youth as a Resource. In Cosby, A., Greenberg, R., Southward, L., & Weitzman, M. (Eds.), *About Children: An Authoritative Resource on the State of Childhood Today*. Washington, D.C.: American Academy of Pediatrics.
-

PHILIP DECTER, MSW
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Madison, WI 53719
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EXPERIENCE

NATIONAL COUNCIL ON CRIME AND DELINQUENCY

Senior Program Specialist

2012 – Present

- Provide project management, consultation, and training for child welfare jurisdictions around the United States in integrating strength and safety-organized practice approaches with the Structured Decision Making® system. Responsibilities include:
 - » Performing consultations with leaders in child welfare jurisdictions regarding program, staff, and organizational development.
 - » Developing individualized curriculum for trainings within different child welfare jurisdictions.
 - » Leading numerous trainings for staff within these agencies.
 - » Co-developing evaluation plans for training and reform efforts.
 - » *Current projects include:* Consultations with San Diego County; the Northern California Training Academy; Larimer County, CO; and others.
-

MASSACHUSETTS DEPARTMENT OF CHILDREN AND FAMILIES

Consultant, Trainer, and Coach

2004 – 2011

- Developed curriculum and provided training for managers, supervisors, and workers at Massachusetts's child welfare agency. In particular, co-developed multiple workshops and a coaching approach for integrating practice and structured assessments.
-

ASSOCIATE DIRECTOR AND FACULTY

2004 – 2011

Family-Centered Services Project, Watertown, MA

- Engaged with mental health, child welfare, corrections, and other public and nonprofit agencies in developing trainings for strength-based, family-centered practices, and the organizational structures needed to support them.
-

INDEPENDENT CLINICAL PRACTICE

1997–2011

- Provided individual, child, adolescent, couple, and family counseling in private practice setting. Clients were from a diverse range of ethnic, cultural, and socio-economic backgrounds.

BRIGHTON-ALLSTON MENTAL HEALTH ASSOCIATION

Director of Family and Community Services

2002–2004

- Created linkages and joint projects between local community agencies and this community mental health center around suicide prevention, group work for survivors of domestic violence, and the provision of in-home services to children and families.

THE HOME FOR LITTLE WANDERERS

Program Director

2001

- Managed start-up of sibling foster care program ("Sib-Links") that supported foster caregivers in keeping sibling groups of three or more together.

Team Leader and Clinical Social Worker

1997–2001

- Co-founded psychiatric hospital diversion and aftercare service for children and adolescents with major mental illness and behavioral disorders based at The Cambridge Hospital. Service provided short-term intensive individual and family therapy to children and families within their home and community.

EDUCATION

SIMMONS COLLEGE SCHOOL OF SOCIAL WORK

Candidate for Doctor of Philosophy in Social Work (in process, expected 2013)

SIMMONS COLLEGE SCHOOL OF SOCIAL WORK

Master of Science in Social Work (1996)

TUFTS UNIVERSITY

Master of Arts in Applied Early Childhood Development (1994)

TUFTS UNIVERSITY/SCHOOL OF THE MUSEUM OF FINE ARTS JOINT PROGRAM

Bachelor of Fine Arts (1992)

PUBLICATIONS

- 2010 Chin, S., Decter, P., Madsen, W., & Vogel, J. Action Learning Groups: Enhancing Worker Judgment in Risk Assessment Through Facilitated Dialogues. Accepted for publication in an upcoming issue of *Protecting Children*.
- 2008 Decter, P., & Buckley, E. The Hot Seat: An Exercise in Learning Narrative Practice. *The International Journal of Narrative Therapy and Community Work*, 2, 3–12.
- 2006 Buckley, E., & Decter, P. From Isolation to Community: Collaborating with children and families in times of crisis. *The International Journal of Narrative Therapy and Community Work*, 2, 3–12.
-

AMY M. CIPOLLA-STICKLES
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acipollastickles@nccdglobal.org

EDUCATION

University California–San Francisco

Master of arts in international and multicultural education with human rights emphasis (2012)

Howard University, Washington, DC

Bachelor of science in health/physical education K-12 teaching and exercise physiology (Magna Cum Laude; 1997)

PROFESSIONAL EXPERIENCE

SENIOR PROGRAM SPECIALIST

10/2012 – Present

National Council on Crime & Delinquency, Oakland, California

- Manage the Lesbian Gay Bisexual and Transgender Child Welfare placement stability and runaway reduction project
 - Co-authored advanced LGBT curricula for Trainers & Facilitators
 - Train, Facilitate, Coach and provide Technical Assistance to county child welfare administrators and staff
 - Develop and implement an anti-discrimination policy for county child welfare departments
 - Develop and Coach on LGBT data collection protocols for county child welfare departments
 - Supervise and Mentor a Program Associate II and Research Assistant
-

MULTICULTURAL CONSULTANT/FACILITATOR

2/2000 – Present

VISIONS, Inc.

- Developed participants' skills for addressing and changing attitudes and behaviors that perpetuate bias, discrimination, and other obstacles to equity
- Lead workshops on how to overcome barriers to communication, relationship-building and organizational development caused by cultural misunderstandings and apprehensions

DIVERSITY INITIATIVES PROJECT COORDINATOR

9/2006–8/2010

MA Department of Children and Families

- Created awareness and developed ways to reduce disproportionality and disparate outcomes for Black, Latino and GLBTQ youth in Massachusetts foster-care system
 - Directed and developed equity work at the clinical, managerial and systemic levels throughout the 29 area offices across the state of MA
 - Co-authored and implemented the Statewide Diversity 101 Curriculum: Culturally Competent Child Welfare Practice trainings
 - Co-authored, implemented and facilitated the thirteen Statewide Diversity 102 Curriculum: Culturally Competent Child Welfare Supervision trainings
 - Supervised and Mentored a High School John Ward Fellow
 - Created and Facilitated the following groups:
 - » *GLBTQ Volunteer Liaisons - Gay Lesbian Bi-Sexual Transgender & Queer/Questioning*
 - » *Area Office Diversity Leadership Teams for 26 out of 29 offices*
 - » *Casey Family Breakthrough Series Collaborative: Disproportionality and Disparate Outcomes for Black and Brown Children in Child Welfare*
-

FOUNDER AND CHAIR OF F.O.C.U.S (Families of Color United For Success) **Led as a Parent*
10/2003 – 2006

The Fessenden School

- Promoted collaboration and communication between families of color, educate group on various aspects of independent school culture and act as the liaison for the group with Fessenden Admin
 - Group focus was to enhance the experience of families of color within the larger community
-

PRESENTER AND BOARDWORK

Presenter:

- Brandeis University Heller School of Social Policy and Management Health and Social Policy Undergraduate Internship Course (Fall 2009 and Fall 2010)
- Casey Family Child Protective Services 6th annual Diversity Journey Conference: Transgenderism 101: What You Want to Know But Were Afraid to Ask (2008)
- MA Department of Children and Families 2nd Race Ethnicity & Linguistic Minority Affairs (2007)
- Wayside Youth and Families Counseling Training Institute-*Modern Oppression: New Melodies for the Same Ole Tunes* (2007, 2009)
- Association of Independent Schools of New England- Faculty & Staff Diversity Conference (2006,2009)

- Association of Independent Schools of New England- H. S. Youth Diversity Conference (2005, 2007)
- National Gay, Lesbian, Bisexual, Transgender Task Force- Creating Change Conference (2005)
- W.K. Kellogg Foundation- Food and Fitness Youth Conference (2006)
- W.K. Kellogg Foundation- Y.E.S.! (Youth Engagement Strategies) Conference (2004, 2005)

Boardwork:

- USF- Upward Bound Advisory Board (April 2011- present)
 - Greater Boston Parents and Friends of Lesbians and Gays (PFLAG) (2009–2010)
 - Boston Women’s Fund Young Women’s Programming Hiring Committee (2007–2008)
 - Boston Women’s Fund Programming Committee (2006–2008)
-

VOLUNTEER

Coaching

- Youth Girls Basketball Coach - Appalachian State and West Virginia University (2002–2004)
- NCAA Division 3 Associate Coach - Mt. Ida College Newton, Massachusetts (2001)
- Youth Basketball Coach -5/6 year olds, 7/8 year old, 9/10 year old, and 11/12 year old Mesa, Arizona and Boston, Massachusetts (1996–2001)
- Youth Baseball Coach - T-ball, Minor, 10/11 year old Mesa, Arizona and Boston, Massachusetts (1995–2002)
- Youth Soccer Coach - Pee Wee (3–5 year old), U-7, U-9 DC and Boston, Massachusetts (1994–2001)

MARGARET (MOLLIE) A. WARREN
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Madison, WI 53719
(800) 306-6223
mwarren@nccdglobal.org

EDUCATION

University of Wyoming Laramie, Wyoming
Master of Public Administration (2011) GPA 4.0/4.0

- *Phi Kappa Phi, Pi Alpha Alpha Honor Societies*

Pace University New York, New York
Master of Science for Teachers (2008) GPA 4.0/4.0

- *Specialization in Middle Grades Special Education*

Kent State University, Kent, Ohio
Bachelor of Arts in Psychology, Bachelor of Arts in Sociology (2005) GPA 3.5/4.0

- *Dean's List 2001–2005; Graduated Cum Laude*
-

PROFESSIONAL EXPERIENCE

PROGRAM ASSOCIATE

2014 – Present

National Council on Crime and Delinquency, Madison, Wisconsin

- Provide high-level technical assistance, consultation, and field coaching to support program implementation, including the Structured Decision Making® (SDM) system and CRC's integrated practice model for child protective services.
 - Develop new SDM® and/or integrated service model (e.g., safety-organized practice) projects by developing grants/proposals.
 - Provide assessment customization, practice model adaptation, application of implementation science principles, training, coaching, case reading, presentation of implementation findings/recommendations, and other technical assistance to child welfare jurisdictions across the United States and internationally.
-

INTAKE ADMINISTRATOR

2013

Colorado Department of Human Services, Denver, Colorado

- Led the implementation and expansion of organizational and practice changes across Colorado, including Review Evaluate and Direct (RED) Team, Enhanced Screening, Differential Response, and family-centered social work practices. Facilitated multi-disciplinary workgroups and committees to support county child welfare staff and to advocate for enhanced child welfare practices within the state of Colorado.
- Provided supervision and technical assistance to county leadership and management to ensure worker training, support, efficiency, and compliance with Colorado Statute. Collaborated and partnered with multiple state systems to share enhanced practices, resources, and tools.
- Evaluated and provided technical assistance to Colorado counties on formal assessment tools including the Colorado Safety Assessment and Colorado Risk Assessment. Developed and delivered curriculum and training to county partners to ensure sustainable practice and case management change.

SENIOR SOCIAL CASEWORKER/CHILD WELFARE TRAINER AND PRACTICE COACH

2011 – Present

Larimer County Department of Human Services, Fort Collins, Colorado

- Provide in-field and in-office coaching to approximately 50 new and seasoned caseworkers.
- Create and implement group trainings within Larimer County Department of Human Services (LCDHS) and the community.
- Facilitate community training opportunities to LCDHS staff.
- Participate in and develop committees to advocate for child welfare best practices with in LCDHS and the state of Colorado.
- Collaborate with supervisors to ensure worker support, efficiency and quality of supervision.
- Perform primary and secondary caseworker duties in assessments, FAR and traditional cases.

SOCIAL CASEWORKER II

2010–2011

Larimer County Department of Human Services, Fort Collins, Colorado

- Assessed allegations of abuse and neglect to assess for child safety in traditional and FAR models
 - Coordinated client services with other community agencies, refer clients when deemed necessary.
 - Managed crisis intervention as necessary to assist families in decision making, problem solving and advocacy for clients.
 - Prepared and presented case information to the Courts.
 - Participated in committees related to job performance.
 - Performed other duties as appropriate or assigned.
-

FAMILY SERVICE COORDINATOR

Child Development Center of Natrona County, Casper, Wyoming

2008 – Present

- Collaborated and liaised between parents of 50+ special needs students, special education teachers and specialized therapists, in order to meet special education requirements.
 - Developed and maintained interagency contacts, including partnering with or making appropriate referrals to other community or regional agencies.
 - Facilitated and managed the development, review and evaluation of all IFSP or IEP documentation and meetings to ensure legal compliance.
 - Coordinated educational experiences for families in order to develop strengths, skills and resources necessary to support children with special needs.
-

SPECIAL EDUCATION TEACHER

2006–2008

Teach for America (Frederick Douglass Academy II) New York, New York

- Designed and implemented instructional program directed toward at-risk students and students with learning disabilities, leading to over 80% class mastery of math standards.
 - Executed and compiled Individualized Education Plans for 50 students, including data collection, physical and technological database management.
 - Collected and analyzed student data in order to solve complex problems, ensuring significant academic growth.
 - Managed group of five paraprofessionals to provide optimal student services.
-

CENTER DIRECTOR

2005–2006

Appalachia Service Project, Jonesville, Virginia

- Organized leadership of 1,200+ adult and high school volunteers in program objectives including instruction of construction, managing projects, teaching of area and culture, and planning and execution of community building programs.
 - Created and facilitated strategies to reach home rehabilitation goals within limited timeframe and according to strict \$120,000 budget guidelines.
 - Planned and implemented 30 simultaneous home rehabilitation projects to guarantee quality, safety and conformity with local and state codes at worksites.
 - Supervised total of nine staffers, providing individual positions with leadership and support.
-

SUSAN M. GRAMLING
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Madison, WI 53719
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sgramling@nccdglobal.org

EDUCATION

J.D., University of Wisconsin Law School, Madison, Wisconsin, 1996

Administrative leadership coursework, University of Wisconsin–Milwaukee, Milwaukee, Wisconsin, 1985

M.S., speech pathology and audiology, University of Wisconsin–Milwaukee, 1979

B.S., speech therapy, Marquette University, Milwaukee, Wisconsin, 1968

LEGAL EXPERIENCE

PRIVATE PRACTICE

1996 – Present

- Emphasis on children and the law and disability and exceptional education disputes.
-

LAW CLERK

1995–1996

Angermeier and Rogers, Milwaukee, Wisconsin

- Provided research and general support in areas of employment discrimination, social security, worker's compensation, and estate planning.
-

INTERN

1996

Equal Employment Opportunity Commission, Milwaukee, Wisconsin

- Investigated employment discrimination charges.
-

LAW CLERK

1994–1995

Legal Aid Society of Milwaukee, Milwaukee, Wisconsin

- Researched and directed client services for persons who are homeless in addition to being a research assistant to the litigation team (trial and oral argument preparation on a variety of cases).
-

JUDICIAL INTERN

1994

Wisconsin Court of Appeals, Milwaukee, Wisconsin

- Provided research and writing for the Honorable Richard Brown.
-

LAW CLERK

1994

Podell, Ugent and Cross, Milwaukee, Wisconsin

- Provided research and witness interviews, and documented review in the area of employment discrimination.
-

PROFESSIONAL EXPERIENCE

SENIOR RESEARCHER

1998 – Present

Children's Research Center (CRC), a division of the National Council and Crime and Delinquency (NCCD), Madison, Wisconsin

EXECUTIVE DIRECTOR

1987–1993

Milwaukee Hearing Society (The Center for the Deaf and Hard of Hearing), Milwaukee, Wisconsin

- Provided administration, program development & supervision, advocacy, budget development, and fundraising for nonprofit agency serving persons who are deaf or hard of hearing.
-

AD HOC INSTRUCTOR

1986–1992

University of Wisconsin–Milwaukee, Milwaukee, Wisconsin

- Taught courses in severe and profound developmental disabilities and exceptional children and the family for the Department of Exceptional Education.
-

SUPERVISOR

1982–1987

Easter Seals Child Development Center, Milwaukee, Wisconsin

- Supervised teaching and therapy staff, coordinated client evaluation team, and directed in-home evaluation services for central city families with developmentally delayed children.
-

PROJECT DIRECTOR

1980–1982

Wee Care Day Care, Inc., Milwaukee, Wisconsin

- Supervised two state-funded projects aimed at central city families: Day Care/Family Training Program and Special Education Needs Program.
-

SPEECH PATHOLOGIST

1979–1980

Milwaukee Public Schools, Milwaukee, Wisconsin

- Evaluated and treated central city children with speech and language disorders and other disabilities.
-

SPEECH PATHOLOGIST

1977–1978

St. Aemillian's a/k/a St. Aemillian-Lakeside, Milwaukee, Wisconsin

- Evaluated and treated emotionally disturbed boys with speech and language disorders.
-

SPEECH PATHOLOGIST

1972–1977

Clay County Health Department, Liberty, Missouri

- Evaluated and treated children and adults with a variety of speech and language disorders.
-

SPEECH PATHOLOGIST

1971–1972

Kansas City Public Schools, Kansas City, Missouri

- Evaluated and treated central city children with a variety of speech and language disorders.
-

SPEECH PATHOLOGIST

1968–1971

Cooperative Educational Service Agency #5, Portage, Wisconsin

- Evaluated and treated children with speech and language disorders in several rural school districts.
-

PUBLICATIONS

1999 – Present	City of Milwaukee and Charter School Review Committee monitoring reports, two to five charter schools per year.
2006 – Present	Technical Assistance & Leadership Center (TALC) small high school monitoring reports, 11–16 schools per year.
2007 – Present	PAVE summer school program monitoring reports, five schools per year.
2009	<i>Making the Grade: Using Data to Improve Performance in Milwaukee's City-chartered Schools</i> , Children's Research Center.

OTHER PROFESSIONAL ORGANIZATIONS/ACTIVITIES

Member, Milwaukee Bar Association (MBA)

Member, MBA Juvenile Branch/Bar Juvenile Section

Member, State Bar of Wisconsin

Member, Children and the Law Section of State Bar of Wisconsin

Member, Milwaukee Young Lawyers Association

Sherman Park Community Association

Metropolitan Milwaukee Fair Housing Council

Active volunteer for several candidates for local, state, and federal offices.

NICHOLE BRYNN CARLISLE

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Madison, WI 53719

(800) 306-6223

ncarlisle@nccdglobal.org

EDUCATION

University of Wisconsin–Madison

MSW, concentration on children, youth, and families

BA, social welfare with honors

PROFESSIONAL EXPERIENCE

PROGRAM ASSOCIATE

3/2013 – Present

National Council on Crime and Delinquency, Madison, Wisconsin

- Co-facilitation of workgroups and trainings focused on organizational changes in the field of Child Welfare and Adult Protective Services
 - Creating and delivering conference presentations on the use of Evidence-Based Practices in human service organizations
 - Design and development of e-learning modules using Adobe Captivate software
 - Literature reviews on how organizations can better manage change and the implementation of new practices
-

AVID/TOPS TUTOR

9/2012–3/2013

Boys and Girls Club, Madison, Wisconsin

- Tutored high-school students in various academic subjects using discussion sections and Socratic dialogue
 - Mentored students in areas of college readiness
 - Implemented academic improvement plans
-

HOME SUPPORT WORKER

1/2008–3/2013

Options in Community Living, Madison, Wisconsin

- Provided in-home support to adults with developmental disabilities at risk of institutionalization
 - Organized community outings to encourage active community involvement
 - Helped develop occupational opportunities
 - Partook in long-term behavioral support planning
-

TEACHING ASSISTANT

2006–2009

University of Wisconsin–Madison, Madison, Wisconsin

- Designed and led discussion sections on Introduction to the Field of Social Work and Social Work with Racial and Ethnic Groups
 - Connected students with mentoring and volunteering opportunities
 - Advised students on career paths, degree choice
-

SOCIAL WORK INTERN

9/2010–5/2011

East High School, Madison, Wisconsin

- Used Evidence Based Practices to address AODA issues
 - Participated in multi-disciplinary team meetings
 - Crisis Response
-

RESIDENT CARE STAFF

5/2007–4/2009

Akasha Group Home, Madison, Wisconsin

- Provided residential treatment to delinquent male youths ages 13–18
 - Organized community service and recreational outings
 - Implemented a strengths-based behavioral modification program aimed at decreasing criminality and increasing pro-social behavior
-

VOLUNTEER EXPERIENCE

DNA PROJECT VOLUNTEER

Summer 2011

Department of Corrections, Madison, Wisconsin

- Helped DOC address the DNA backlog by researching offense histories and flagging individuals with felonies
 - Received training on relevant DOC policies and databases
-

TUTOR

4/2006–6/2009

Schools of Hope, Madison, Wisconsin

- Provided one-on-one tutoring to kindergarteners with reading skills deficits
 - Provided tutoring in math to fifth graders with behavioral and emotional disabilities
 - Integrated special-education tutoring with regular-education classes/activities
-

SHANNA L. DEAN

426 S. Yellowstone Dr., Ste. 250
Madison, WI 53719
(800) 306-6223
sdean@nccdglobal.org

EDUCATION

Carnegie Mellon University, H.I. Heinz II College, Pittsburg, PA
MS, public policy and management with highest distinction

University of Wisconsin–Madison
BA, English literature and communication arts-radio/TV/film with honors

PROFESSIONAL EXPERIENCE

PROGRAM ASSOCIATE

1/2014 – Present

National Council on Crime and Delinquency, Madison, Wisconsin

- Provides extensive support to project managers to implement Structured Decision Making® (SDM) case assessment systems in client sites
 - Delivers on-site and web-based trainings to jurisdictions to strengthen implementation
 - Reviews local, state, and federal policies, collects and analyzes data, and writes reports to assist clients in considering policy changes and integrating the SDM system into existing processes
-

EDUCATION POLICY ANALYST

6/2012–12/2012

Wisconsin Center for Education Research (WCER), Madison, Wisconsin

- Assisted working groups in supporting school districts and states in the design, implementation, and evaluation of education initiatives
 - Wrote and edited policy briefs, articles for website, outreach materials, educational one-pagers, PowerPoint presentations, and technical and annual reports
 - Developed and facilitated training and seminars on student achievement measures and outcomes to technical audiences as well as practitioners
-

TEACHING ASSISTANT

8/2011–12/2011

Carnegie Mellon University, Heinz College, Pittsburg, Pennsylvania

- Worked with professors to develop and evaluate assignments for graduate-level classes including Intermediate Strategic Writing, Advanced Policy Writing, and Evidence-Based Management
-

EDUCATION PIONEERS FELLOW

6/2011–8/2011

Playworks, Metro Boston

- Conducted policy analysis, developed marketing materials, created and presented strategic plan to key stakeholders for launch of training program
 - Collaborated with lead trainer to create logic model, process model, and pre-program and post-program surveys to determine impacts of training program
-

RESEARCH ASSISTANT

10/2010–5/2011

Carnegie Mellon University, Institute for Social Innovation (ISI), Pittsburg, PA

- Cooperated with several organizations to coordinate CMU's 2010 Social Innovation Day; organized 2011 ISI Case Competition, which included 35 participants and three external sponsors
-

UNIT DIRECTOR

2/2009–5/2010

Boys & Girls Club of Rochester (BGC), Rochester, MN

- Planned, developed, and managed national and local youth development programs
 - Tracked and administered 10-12 grant-funded programs per year, reporting to local and national agencies
 - Served as liaison between parents, schools, community organizations, youth, and BGC staff at all levels
-

YOUTH DEVELOPMENT VOLUNTEER

9/2006–11/2008

United States Peace Corps, Morocco

- Reached over 100 students as a teacher of English as a Foreign Language
- Facilitated events addressing HIV/AIDS, women's rights, environmental awareness, and best practices for entrepreneurship; over 200 Moroccans received free HIV tests through AIDS education seminars

- Selected by Peace Corps to coordinate an English immersion camp in partnership with Moroccan Ministry of Youth and Sports; reached 87 students ages 13–17 and worked with 10 Moroccan counselors and nine US volunteers
-

SKILLS

- Software: MS Office Suite (including Outlook, Word, Excel, PowerPoint, Project, Access), SPSS, ArcGIS, Adobe Creative Suite, Salesforce, Basic HTML, Web Meeting Technologies (WebEx, GoToMeeting, Join.Me), WordPress, Social Media Applications, iMovie
 - Languages:
 - » Arabic—Proficient: Speaking (Moroccan Dialect); Basic: Reading, Writing
 - » French—Basic: Speaking; Intermediate: Reading, Writing
 - » Spanish—Basic: Speaking, Reading, Writing
-

OTHER PROJECTS

SITE SUITABILITY ANALYSIS

Playworks, Metro Boston

Synthesized census data, MCAS assessment scores, and obesity data to create a site suitability index and kernel density map using ArcGIS to guide in program expansion

HEINZ COLLEGE SYSTEMS SYNTHESIS PROJECT

Turkmen Mentors Program

Used program evaluation tools to revise process model, selection criteria, and evaluation processes

ACTIVITIES

VOLUNTEER

11/2011 – Present

Arzuw Foundation

MEMBER

6/2012 – Present

Returned Peace Corps Volunteers of Madison

MENTOR

11/2012 – Present

Heinz College Mentor Program

FALL CONFERENCE ATTENDEE

11/2012

Association for Public Policy Analysis and Management

REVISITING TEACHER EVALUATION FORUM ATTENDEE
9/2012
Carnegie Foundation

ERIN WICKE DANKERT
426 S. Yellowstone Dr., Ste. 250
Madison, WI 53719
(800) 306-6223
EWickeDankert@nccdglobal.org

EDUCATION

University of Wisconsin–Madison
Bachelor of Science, statistics, sociology, concentration in analysis and research; psychology
(2006)

PROFESSIONAL EXPERIENCE

RESEARCHER

2006 – Present

National Council on Crime and Delinquency, Madison, Wisconsin

- Ad hoc and routine data analysis and reporting for child welfare agencies using SQL and SPSS; documentation of complex methodology; risk validation and recurrence of maltreatment studies in child welfare, adult protection, and juvenile justice; report writing, including routine management reports; data collection and entry; facilitating work groups; quality improvement
-

UNDERGRADUATE RESEARCH ASSISTANT

2004–2006

Wisconsin Longitudinal Study, University of Wisconsin–Madison

- Transcription of audio segments to assess respondents' cognitive abilities; processing interviewer notes and making data corrections; creating variables for public use from raw data; writing documentation and designing flowcharts for public access; performing statistical analyses for use in a summary report for the respondents; maintaining confidentiality standards
-

ADDITIONAL RESEARCH EXPERIENCE

- Wide range of experience using statistical computing packages, including SAS, SPSS, MINITAB, R, and STATA

- Experience navigating large relational databases, including those housed in ORACLE and Access databases.
 - Class Projects, University of Wisconsin–Madison, College of Letters and Science Survey design and analysis; conducting interviews and focus groups; experimental design and analysis; regression analysis; data modeling
-

SARAH COVINGTON

426 S. Yellowstone Dr., Ste. 250
Madison, WI 53719
(800) 306-6223
scovington@nccdglobal.org

EDUCATION

University of Illinois at Chicago School of Public Health
Public health GIS certificate (2013)

University of Wisconsin–Madison School of Medicine and Public Health
Master of public health (cumulative GPA: 3.9; 2012)

Pitzer College
Bachelor of science in biology, honors thesis (2002)

PROFESSIONAL EXPERIENCE

RESEARCHER

11/2013 – Present

National Council on Crime and Delinquency, Madison, Wisconsin

- Routine data analysis; routine report writing; custom report writing; outcome measurement; program/policy recommendations.
-

RESEARCH ANALYST

2/2012 – 10/2013

Wisconsin Department of Health Services, Division of Public Health (DPH), Madison, Wisconsin

- Organized data collection and developed management tools for *Healthiest Wisconsin 2020* Baseline and Disparities Report.
 - Collected secondary data, performed statistical analyses, synthesized figures and maps, wrote descriptive narratives.
 - Coordinated data collection and provided technical assistance to epidemiologists and specialists from 14 disciplines within the DPH and UW Population Health Fellows.
 - Developed and maintained progress tracking tools and communicated regularly with supervisors.
-

INTERN

04/2011 – 12/2011

Wisconsin Department of Health Services, Minority Health Program, Madison, Wisconsin

- Participated in development of requests for proposals and conducted grant evaluations.
 - Developed preliminary framework for Wisconsin Minority Health Report.
 - Presented framework to Wisconsin Minority Health Leadership Council.
-

EDITOR

02/2006 – 05/2011

Prehospital and Disaster Medicine (peer-reviewed journal), Madison, Wisconsin

- Edited and formatted articles for publication.
 - Communicated with authors internationally regarding manuscript queries.
-

CLIENT SERVICES SPECIALIST

07/2007 – 08/2010

Token Creek Veterinary Clinic, Token Creek, Wisconsin

- Maintained client records and assisted with client education.
-

PROJECT ASSISTANT

02/2007 – 09/2007

Wisconsin Council of the Blind, Madison, Wisconsin

- Assisted the Vision Rehabilitation Teacher on home visits.
-

PROJECT ASSISTANT

12/2005 – 04/2006

Clinical Edge, Genentech, Madison, Wisconsin

- Organized data on advanced macular degeneration, identified inconsistencies, and responded to research queries.
-

RESEARCH ASSISTANT

08/2004 – 08/2005

University of Wisconsin, Madison, Wisconsin

- Conducted bioassays on microbial interaction and participated in lab meetings and discussions.
-

PRESENTATIONS AND REPORTS

- 2013 *Healthiest Wisconsin 2020* Baseline and Disparities Report
- 2013 Covington, S. (June). *Addressing health disparities in Wisconsin beyond race/ethnicity: Socioeconomic status, sexual orientation, geography, and disability status*. Presented at the Council for State and Territorial Epidemiologists Annual Conference, Pasadena, CA.
-

TECHNICAL SKILLS

Proficient in Microsoft Office Suite, SAS, and ArcGIS10.

EDUCATION

University of Texas at Austin, College of Natural Sciences
BS (2013) in Mathematical Sciences, Emphasis in Statistics, Probability and Data Analysis

Additional Criminal Justice/Sociology Coursework: Sociology of the Criminal Justice System, Criminology, Social Psychology of the Law, Social Statistics: Longitudinal Data Analysis, Race, Culture and Migration, Race, Ethnicity and Gender in Demography

Appendix C

M/W/DBE Participation Materials

COUNTY OF ALLEGHENY

M/W/DBE PARTICIPATION STATEMENT

Failure to complete this form and submit it with your contract may cause delays in processing

SOLICITATION AND COMMITMENT

MINORITY, WOMEN AND DISADVANTAGED BUSINESS ENTERPRISES

FISCAL YEAR/PERIOD	NAME OF PROVIDER	ADDRESS	PHONE NUMBER
July 1 - June 30	National Council on Crime and Delinquency	1970 Broadway, Suite 500, Oakland, CA 94612	1-800-306-6223

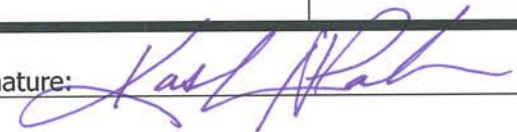
List below ALL M/W/DBE's that were solicited – whether or not commitment was obtained – Copy this form as necessary

MBE <input type="checkbox"/> WBE <input type="checkbox"/> DBE <input type="checkbox"/> CERTIFIED BY: N/A COMPANY NAME N/A ADDRESS N/A CONTACT PERSON/PHONE N/A EMAIL N/A	TYPES OF SUBCONTRACT WORK OR MATERIALS N/A	DATE SOLICITED N/A SOLICITATION METHOD N/A QUOTE RECEIVED <input type="checkbox"/> YES <input type="checkbox"/> NO	COMMITMENT MADE <input type="checkbox"/> YES <input type="checkbox"/> NO (IF YES GIVE DATE) MO DAY YR AMOUNT COMMITTED \$ % OF TOTAL BID	GIVE REASON(S) IF NO COMMITMENT MADE N/A
MBE <input type="checkbox"/> WBE <input type="checkbox"/> DBE <input type="checkbox"/> CERTIFIED BY: COMPANY NAME ADDRESS CONTACT PERSON/PHONE EMAIL	TYPES OF SUBCONTRACT WORK OR MATERIALS	DATE SOLICITED SOLICITATION METHOD QUOTE RECEIVED <input type="checkbox"/> YES <input type="checkbox"/> NO	COMMITMENT MADE <input type="checkbox"/> YES <input type="checkbox"/> NO (IF YES GIVE DATE) MO DAY YR AMOUNT COMMITTED \$ % OF TOTAL BID	GIVE REASON(S) IF NO COMMITMENT MADE
MBE <input type="checkbox"/> WBE <input type="checkbox"/> DBE <input type="checkbox"/> CERTIFIED BY: COMPANY NAME ADDRESS CONTACT PERSON/PHONE EMAIL	TYPES OF SUBCONTRACT WORK OR MATERIALS	DATE SOLICITED SOLICITATION METHOD QUOTE RECEIVED <input type="checkbox"/> YES <input type="checkbox"/> NO	COMMITMENT MADE <input type="checkbox"/> YES <input type="checkbox"/> NO (IF YES GIVE DATE) MO DAY YR AMOUNT COMMITTED \$ % OF TOTAL BID	GIVE REASON(S) IF NO COMMITMENT MADE

Prepared By: Katherine H. Park Title: Vice President

Date: 4-17-14

Signature:



**COUNTY OF ALLEGHENY
M/W/DBE PARTICIPATION WAIVER REQUEST**

PROVIDER	National Council on Crime and Delinquency
ADDRESS	1970 Broadway, Suite 500, Oakland, CA 94612
CONTACT PERSON	Raelene Freitag
TELEPHONE NUMBER	1-800-306-6223
EMAIL ADDRESS	rfreitag@nccdgloba.org
FISCAL YEAR/PERIOD	July 1 - June 30

In all instances a good faith effort must be made to meet the M/W/DBE contract goals as outlined in Section 3.10.8.8 of the "Minority and Women Business Enterprise Utilization Affirmative Action Requirements" document.

If you plan to perform the entire contract without using M/W/DBE subcontractors and/or suppliers or have not completely met the M/W/DBE goal of 13% MBE 2% WBE, the following must be attached and submitted with this form:

- * A detailed explanation of your normal business practice
- * Operation and/or Inventory Profile
- * An active company supplier/subcontractor diversity policy
- * Explanation as to why M/W/DBE participation waiver is being requested

Note: The fully completed M/W/DBE Participation Statement must accompany this waiver request, that shows your "Good Faith Effort"

Prepared By: Katherine H.
Park

Title: Vice President

Date:

4-17-14

Signature:



M/W/DBE Participation Waiver Request

Please accept the National Council on Crime and Delinquency's (NCCD) request for a waiver of the M/W/DBE participation requirements. Our normal business practice is to hire full- and part-time employees; we rarely subcontract. The primary reason we limit subcontracting is the confidential nature of the data we work with on a day-to-day basis. Staff of the Children's Research Center (CRC), a division of NCCD, regularly work with confidential information related to children and families involved in child welfare, TANF, juvenile justice, and/or education. Data are routinely provided to CRC from multiple jurisdictions in the United States and Australia. All employees are required to sign confidentiality agreements as a condition of employment and cannot disclose any case information to anyone outside of CRC. All data are secured physically and electronically. Our office doors are locked 24 hours per day, seven days per week, and are accessible by entering a security code.

As a nonprofit social research organization, NCCD does not have inventory. NCCD is governed by a Board of Directors and does not have owners.

NCCD provides equal employment opportunities to all qualified applicants regardless of age, religion, sex, physical disability, medical condition, marital status, color, sexual orientation, race, national ancestry, or any other protected category. Please see NCCD's Affirmative Action Plan.

Although it is not normal NCCD business practice to subcontract, NCCD staff reviewed the list of approved Allegheny County and Pennsylvania Unified Certification Program M/W/DBEs found at www.county.allegheny.pa.us/mwdbe for a company to partner with for the work within this proposal. NCCD did not find a business that has the subject matter expertise needed, but would not rule out finding a local partner in the future to carry on as the work is transitioned to local leadership.



Affirmative Action Plan

2013

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I. INTRODUCTION

The National Council on Crime and Delinquency (NCCD) was organized in 1907 as the National Probation Association. In 1947 it became the National Probation and Parole Association. In 1960 its scope was expanded, and it became the National Council on Crime and Delinquency.

NCCD is a nationally recognized non-profit, private agency working to prevent and control crime and delinquency by utilizing both professional expertise and citizen action.

NCCD is the country's major non-governmental agency dealing with the entire criminal justice spectrum—from police to courts to corrections.

II. SCOPE OF AFFIRMATIVE ACTION PLAN

This Affirmative Action Plan (AAP) is for the headquarters facility in Oakland, California and all other domestic NCCD locations. The compliance year for this plan is January 1, 2013, through December 31, 2013.

III. REAFFIRMATION OF THE EQUAL EMPLOYMENT OPPORTUNITY POLICY

NCCD is committed to an equal employment opportunity for all employees and applicants. NCCD will ensure that management representatives and employees shall comply with both the spirit and intent of federal, state, and local regulations by providing an equal employment opportunity without regard to race, color, sex, religion, national origin, ancestry, marital status, sexual orientation, gender identity, gender expression, age, physical or mental disability, or status as a Vietnam era veteran or qualified disabled veteran, except where age or sex are bona fide occupational qualifications or disability is a bona fide disqualification.

Management representatives will ensure that positive steps are taken to comply with this policy, while achieving the objectives and goals of NCCD for continued growth and programmatic success.

Alex Busansky, President of NCCD, reaffirms his personal commitment to provide an equal employment opportunity in an annual policy statement to all employees. The policy statement includes the Equal Employment Opportunity policy outlined below:

Equal Employment Opportunity Policy

- A. Management representatives will recruit, hire, upgrade, train and promote in all job classifications without regard to race, color, religion, sex, national origin, ancestry, marital status, sexual orientation, gender identity, gender expression, age, physical or mental disability, or status as a Vietnam era veteran or qualified disabled veteran, except when a disability is a bona fide disqualification.

- B. Management representatives will take affirmative action to ensure that minorities and females are introduced into the work force and are given consideration as promotional opportunities arise.
- C. Management representatives will ensure that all other personnel actions such as compensation, benefits, layoffs, recalls, terminations, educational assistance, social and recreational programs will be administered without regard to race, color, religion, national origin, sex, age, ancestry, marital status, sexual orientation, gender identity, gender expression, physical or mental disability, or status as a Vietnam era veteran or qualified disabled veteran.
- D. Managers and supervisors will base employment decisions on the principles of an equal employment opportunity with the intent of furthering NCCD's commitment.
- E. Identification of NCCD's EEO Officer and EEO Coordinator.
- F. An invitation to employees and applicants to review the Affirmative Action Program by appointment with the EEO Coordinator.

IV. DISSEMINATION OF POLICY

To ensure that all employees, applicants for employment, and relevant sections of the community are aware that this establishment is an Equal Opportunity Employer and that NCCD practices affirmative action, the following steps have and will continue to be undertaken:

A. Internal Dissemination

- 1. At least once each year, the EEO Policy will be restated in appropriate NCCD publications, which are intended for the general reading by the public, management, employees, and applicants.
- 2. Each year at a designated manager's a meeting, the Affirmative Action Program, EEO and AAP policies, the intent of the policies, and the individual supervisor, manager, and/or officer responsibilities for effective implementation be discussed.
- 3. Employees will be notified of the existence of NCCD's EEO and AAP by the posting of the policy statement on key bulletin boards, which are readily accessible to all employees. The letter is addressed to all employees and indicates that all aspects of employment are available to all employees. Additionally, employees are encouraged to inform management whenever they believe they have encountered a violation of NCCD's EEO Policy.
- 4. Information concerning the EEO Policy and Affirmative Action Program will be included in all employee orientation programs and is communicated to all applicants.

5. The EEO Policy and the reaffirmation statements described above have been posted in the following locations:

- Coffee/Lunch Area
- Photocopy Room
- Made available to all applicants in the reception area

B. External Dissemination

1. Recruiting sources (minority and women's organizations, community organizations, state employment development departments, and colleges as appropriate) will be informed annually, in writing, of NCCD's EEO Policy, as required by Executive Order 11246, as amended. These sources will be requested to recruit and refer qualified minorities and females for appropriate job openings. The list will be periodically reviewed to determine the effectiveness of the recruiting sources.
2. The Equal Employment Opportunity clause and the requirements of Executive Order 11246, as amended, will be included, when necessary, in appropriate purchase orders, contracts, etc. Certificates of Compliance will be processed in accordance with applicable federal rules and regulations.
3. Written notification of NCCD's EEO Policy and Affirmative Action Program will be sent to appropriate subcontractors, vendors, and suppliers, requesting appropriate action on their part.
4. When employees are pictured in company advertising or other promotional literature, minorities and women will be shown.

The existence of the Affirmative Action Program will be communicated to all applicants for employment. Upon request, appropriate sections of the AAP will be made available for their review.

V. EEO RESPONSIBILITIES

In most instances, program/project managers and supervisors will be responsible for the selection of individuals to fill approved vacancies. However, the selection process requires that managers and supervisors be aware and take into consideration the EEO Policy and Affirmative Action Program goals. NCCD's EEO Policy and AAP will be implemented and administered as outlined below.

A. EEO Officer

Alex Busansky, President, has assigned the overall responsibility for Equal Employment Opportunity and Affirmative Action Program Compliance to Antoinette Aleman, Director of Administration, who is the Equal Employment Opportunity Officer for NCCD. As EEO Officer, Antoinette Aleman is specifically responsible for the implementation and monitoring of the EEO Policy and Affirmative Action Program. Antoinette Aleman's duties and responsibilities include as a minimum, but are not limited to the following:

1. Ensuring that an Affirmative Action Program is adopted and effectively implemented, developing policy statements, internal and external communication techniques;
2. Designating or assisting in the selection of an EEO Coordinator;
3. Assisting the identification of target areas, suggesting corrective action, and the establishment of goals and objectives;
4. Designing and implementing audit and reporting procedures that will measure progress toward goals and objectives;
5. Conducting meetings with managers, supervisors, and employees to ensure that NCCD's EEO Policy and AAP objectives are understood and good-faith efforts are being made to achieve results;
6. Semi-annual reviews of NCCD's AAP progress toward goals and objectives with senior management;
7. Ensuring that the performance of management employees is evaluated, in part, on the basis of their affirmative action efforts and results;
8. Providing guidance for managers and supervisors in ensuring a harassment free work environment and;
9. Keeping management informed of developments in EEO/AA laws and requirements.

B. EEO Coordinator

The Human Resources Specialist will be NCCD's EEO Coordinator for the AAP year. The HR Specialist will be responsible for assisting the EEO Officer, as requested, in the performance of the duties stated above, developing or obtaining assistance in creating, implementing, and monitoring of the AAP. The EEO Coordinator has been given the full support of senior management and is assured the necessary support to execute all AAP responsibilities.

The EEO Coordinator's responsibilities include, but are not limited to the following:

1. Having an updated Affirmative Action Program by January 1 of each calendar year;
2. Assisting management in the identification of problem areas and the development of corrective action steps;
3. Developing the AAP semi-annual progress report and disseminating the results to appropriate management;
4. Serving as liaison between employees and management;

5. Serving as liaison between NCCD and organizations concerned with employment opportunities for minorities and females;
6. Promoting NCCD's continued compliance with OFCCP's sex discrimination, religion and national origin guidelines;
7. Ensuring that minority and female employees are encouraged and afforded a meaningful opportunity to participate in all present and future educational, training, recreational and social activities sponsored by NCCD;
8. Performing an EEO analysis of special programs, such as social and recreational activities; training programs; developing procedures and counseling employees to ensure that all employees are hired, promoted, transferred, and disciplined without regard to race, color, religion, sex, national origin, age, ancestry, marital status, sexual orientation, mental or physical disability or veteran status;
9. Reviewing all technical forms (i.e., application forms and posters) for compliance with federal regulations;
10. Monitoring the effectiveness of the EEO Policy, the AAP, training programs, hiring and promotional patterns to determine if minorities and females are given full opportunity for employment and advancement.

VI. INTERNAL AUDIT AND REPORTING SYSTEM

An audit and reporting system has been designed which will:

1. Assist in measuring the effectiveness of the EEO Policy and AAP;
2. Indicate those areas where remedial action is needed;
3. Determine the degree to which goals and objectives have been achieved;
4. Monitor the number of qualified applicants, new hires, promotions, transfers and terminations by race and sex.

This system will be used by the EEO Coordinator in developing semi-annual progress reports to management, which will indicate progress towards AAP goals and objectives. Program/Project management will indicate any current or foreseeable EEO and AAP problem areas, and outline corrective action suggestions.

The EEO Coordinator is responsible for discussing any problems related to the implementation of the EEO Policy and this AAP with appropriate management representatives. Discussions will focus on rejection ratios, the underutilization of minorities and females, charges of discrimination or allegations of harassment. There will be yearly audits of the selection and placement process, paying particular attention to hiring, promotion, transfer, and termination patterns. A report on the status of

NCCD's Affirmative Action Program will be made semi-annual, and remedial steps will be taken which are necessary to provide for the effective implementation of the program.

Progress Reports

A Progress Report will be developed by the Human Resources Specialist, which will summarize personnel transactions, actions taken to implement the objectives of the AAP, and action steps to be taken to overcome any identified deficiencies.

When appropriate, the Progress Report will be distributed to all members of management who are involved in the selection process. The Human Resources Specialist will furnish guidance and counseling to program/project management on problem areas and any corrective action recommendations. The Progress Report will be submitted to the Executive Management Team for review and any additional action, if required.

VII. GUIDELINES ON RELIGION AND NATIONAL ORIGIN

The policies and practices of NCCD have been examined in light of the OFCCP guidelines. NCCD policies support both the letter and spirit of the guidelines. Specifically:

1. Recruiting activities are conducted without regard to religion or national origin.
2. As noted in the EEO policy NCCD prohibits discrimination against employees based on national origin or religion.
3. All employees have an equal opportunity to any job for which they are qualified. Religion or national origin is not considered a basis for selection. No information relative to the religious practices or national origin of any applicant or employee is solicited.
4. No distinction is made based upon religion or national origin with regard to employment opportunities, wages, hours, or other conditions of work.
5. NCCD programs are conducted without regard to religion or national origin.
6. NCCD will attempt to accommodate the religious observances and practices of any employee or prospective employee unless this would cause an undue business hardship.

VIII. SEX DISCRIMINATION GUIDELINES

NCCD has reviewed the OFCCP race and sex discrimination guidelines and has examined NCCD policies and practices in light of those guidelines. No policy, practice, or procedure of NCCD violates the letter or spirit of those guidelines. Specifically:

1. Recruiting activities are conducted without regard to race or sex.

2. Advertisements in newspaper and other media for employment do not express a gender preference.
3. NCCD policy prohibits discrimination against employees based on race or sex.
4. All employees have an equal opportunity for any available job for which they are qualified.
5. No distinction based upon race or sex is made with regard to employment opportunities, wages, hours, or other conditions of employment.
6. No employment distinction is made between married and unmarried persons on the basis of sex.
7. Appropriate physical facilities are available to both sexes.
8. Females are not denied positions for which they are qualified based upon any "state restrictive law."
9. No differences for male or female employees are specified.
10. Wage schedules are not based upon the sex of an employee.
11. Action has been taken to ensure that the workplace is free from any harassment or intimidation based on sex. The NCCD employee handbook is designed to communicate these policies to all employees. In addition, these policies have been covered in mandatory management briefings.
12. As part of the Affirmative Action Program, women are actively recruited for employment opportunities.
13. Qualified men and women are included in all NCCD programs.

NCCD has a standard, pre-existing family care and employee medical leave policy, which is consistent with all state and federal Family Care and Leave Acts, as well as pregnancy disability requirements. Following childbirth and upon notice of intent to return to work within a reasonable period of time, a female employee is eligible for reinstatement in the same manner and circumstances as males/females on any other type of disability leave.

IX. LABOR FORCE/AVAILABILITY ANALYSIS

The utilization analysis and subsequent goal-setting process are based upon availability, determined for each job group. In establishing that availability, all eight factors were considered. Some of the eight factors more appropriately reflect the unique characteristics of NCCD's workforce than others. Those factors that received no weighting in NCCD's final availability calculations were not applicable due to the specific, industry-related skills and experience required in a private,

nonprofit agency working to prevent crime and delinquency through research and development and citizen action.

Much of the general population, unemployment data, and general workforce figures do not apply to the necessary skills for a job candidate to be competitive. Much more to the point where the requisite skill figures (external) and, where appropriate, current representation data from "feeder" jobs and job groups (internal). In some cases, specific educational data may have been given more weight. The weights given to each of the factors most clearly mirrors actual hiring/promotional practices.

For promotable and transferable minorities and/or females, all employees are given the opportunity through performance review planning and job posting system to participate in the career planning process. In those specific jobs which fall into an usual pattern of progression, internal availability of appropriate positions or "feeder" jobs reflecting current representation are factored in and form a considerable portion of the availability calculation.

NCCD's internal training classes are either available through voluntary employee participation or mandatory participation. For those using tuition reimbursement to attend NCCD subsidized training, appropriate documentation will be retained.

Current availability analysis is based on 2000 Census Data for each area which is appropriate to each given job group. NCCD's occupation specific analysis for availability realistically reflects the current NCCD workforce and the experience required for technically specific positions within the workforce.

In determining whether minorities and females are underutilized, NCCD has considered the following data:

1. The minority population of the labor force surrounding the Oakland Headquarters and Madison office locations.
2. The availability of females seeking employment in the labor force or recruitment areas
3. The number of minorities/females unemployed in the labor force area surrounding the identified locations.
4. The percentage of the minority/female work force as compared with total work force in the immediate labor force areas.
5. The general availability of minorities/females having the requisite skills in the immediate labor area.
6. The availability of minorities/females having requisite skills in an area from which the location can reasonably recruit.
7. The availability of promotable and transferable minority/female employees within the facility during the AAP year.
8. The existence of training institutions capable of providing persons with the requisite skills.

9. The degree of training which NCCD is reasonably able to undertake as a means of preparing minorities/females to advance into other job groups during the AAP year.
10. Minority and female job group availability is based on data provided by the 2000 Census and is summarize in the following factor analysis listed one through eight.
 - A. The population of San Francisco, Marin, San Mateo, Santa Clara, Napa, Contra Costa, Alameda, Sonoma and Solano counties, surrounding NCCD's Oakland Headquarters, is 7,150,739 and minorities make up 47.5%:

Population (SF Bay Counties)	7,150,739
Minority Population	3,394,916
Percent Minority	47.5%

The population of Columbia, Dane, Dodge, Green, Jefferson, Iowa, Rock, and Sauk counties, surrounding the Midwest office in Madison, is 1,000,187 and minority population make up 14.0% of the total:

Population (Madison Area Counties)	1,000,187
Minority Population	140,026
Percent Minority	14.0%

- B. The unemployment rate in the areas surrounding the Oakland headquarters is 6.3% and in areas surrounding the Madison office is 6.5%.
- C. The percentage of women in the workforce nationally is 45.3%.
- D. Training and educational institutions having some capability of training minorities and females in the requisite skills exist in the immediate area.
- E. NCCD does provide a limited amount of formal and informal on-the-job training. This training does allow employees to gain some necessary experience for advancement to a higher paying position or transfer to another position to prepare for future opportunities.

Job Groups

NCCD's job groups have been divided, using the primary EEO-1 categories to determine problems and determine those areas needing additional focus. The primary job groups are based upon EEO-1 and it is by those major job groups that specific goals have been established, where needed. NCCD defines the relevant labor area as that geographic area from which applicants and current incumbents in the positions have been recruited. The appropriate Standard Metropolitan Statistical Areas is the San Francisco PSMA (San Francisco, Marin, and San Mateo)

1. Officials and Managers
2. Professionals
3. Technical

4. Sales Workers
5. Office and Clerical
6. Craft Worker
7. Operatives (semi-skilled)
8. Laborers (unskilled)
9. Service Workers
10. Trainees

Employees of NCCD fall into EEO-1 categories of Officials and Managers, Professionals, and Office and Clerical.

X. ANALYSIS OF WORKFORCE, EMPLOYMENT PRACTICES, AND POLICIES

As is evidenced by an examination of the utilization figures, NCCD recognizes there are areas of concern. NCCD will establish targets for females and minorities in any job group that is "underutilized" and incorporate those targets into this AAP. Underutilization can be defined as any negative difference between current representation in a given job group and the requisite availability. There is no technical underutilization if the difference is less than one whole (a fractional part) of a person. As mentioned previously, availability figures are the result of a comprehensive examination of internal and external information, called an eight-factor analysis. This final calculation results in a composite picture of what the workforce should look like - a "benchmark" against which to measure progress and determine areas needing improvement.

The target is based on availability figures. In addition the target is a percentage figure called an Annual Placement Rate (APR). If there are no opportunities, the primary option is to closely monitor termination activity to see that we do not lose ground. If that target is not achieved, it becomes necessary to show what attempts, such as special recruitment, outreach, and training efforts were made to try and reach the specified target.

NCCD will work on specified targeted areas as opportunities occur. External recruiting efforts will continue to focus on women and minorities for certain job groups to improve applicant flow and subsequent hiring where opportunity occurs and underutilization exists.

NCCD intends and expects all self-analysis information and data to be kept strictly confidential by the Office of Federal Contract Compliance Programs (OFCCP) or any other state or federal agency which obtains or is given access to this Affirmative Action Program, regardless of that agency source. Terms such as "affected class," "under-representation," "underutilization," the "effects of past or prior discrimination," etc., are terms which are required in the preparation of an AAP which is acceptable to the OFCCP; however, NCCD does not intend for these terms to have any independent legal significance, nor shall these terms constitute an admission for any purpose whatsoever.

The following is a summary of the workforce composition for the 2004 AAP year. The selection process, including applicant flow, position titles, job specifications, application forms, interview procedures, and similar factors have been analyzed in terms of any adverse or disproportionate impact.

Workforce Composition

- A. Internal workforce by job group, minority and female categories as of September 2013 (See Table A and B).

Job Group	Minorities	Female	Total
Officials	1	4	10
Professionals	18	48	68
Office and Clerical	3	13	14
TOTAL	22	65	92
PERCENTAGE	23.9%	70.6%	100.0%

- B. Internal workforce by job group, ethnic status and gender categories.

Males	W	B	H	A	AI	Total
Officials	6	0	0	0	0	6
Professionals	16	1	1	2	0	20
Office and Clerical	1	0	0	0	0	1
TOTALS	23	1	1	2	0	27
PERCENTAGE	25.3%	1.1%	1.1%	2.2%	0.0%	29.7%

Females	W	B	H	A	AI	Total
Officials and Managers	2	0	1	1	0	4
Professionals	35	5	3	4	0	47
Office and Clerical	10	2	0	1	0	13
TOTALS	37	7	4	6	0	64
PERCENTAGE	40.7%	7.7%	4.4%	6.6%	0.0%	70.3%

- C. **Minority Representation**
The total number of employees at NCCD is 92. The total minority representation is 23.9% or 22 (See Table A). The minority availability for all job groups, for the immediate areas, indicate that NCCD should have 39.0% or 35 minority employees.
- D. **Female Representation**
Female representation at NCCD is 70.6% or 65 female employees (See Table A). The combined female availability for all job groups, using Census Data, indicates that NCCD should have 45.9% or 42 female employees.

XI. DEVELOPMENT AND EXECUTION OF CORRECTIVE PROGRAMS

A. Program/Project Analysis

In order to increase and/or maintain the representation of minority and females employees throughout the work force, all Directors and managers will be held accountable for monitoring and evaluating their hiring, promotions, transfer, and termination practices.

Directors and managers will be responsible for identifying and helping to develop promotion and transfer opportunities for minority and female employees in their programs whenever and wherever an underutilization is identified. In addition, current eligible employees, as well as applicants, will be informed and encouraged to participate in formal and informal training programs available at or through NCCD and in the community.

B. Job Group Analysis

Those responsible for the hiring, promotion, transfer, and termination of personnel in each job group will be trained and held accountable for their affirmative action efforts and results. If a job group is identified as underutilized, steps will be taken to identify and to encourage or train minority and female incumbents to qualify for these positions. Additional efforts to identify minority and female recruitment sources will be intensified. The recruitment of minority and female applicants and hiring patterns will be monitored.

C. Applicant Flow

NCCD will contact appropriate agencies and solicit names of minority and females groups, associations, and institutions which can refer qualified applicants for positions in job groups which have an underutilization of minorities or females.

All NCCD vacancies will be posted internally to provide qualified employees the opportunity to apply for the vacant position. Qualified women and/or minority candidates will be encouraged to apply for vacancies for which there is an identified underutilization.

D. Selection/Rejection Process

The Human Resources Specialist will monitor the selection decisions for all job vacancies. If a vacancy exists in an area identified as being underutilized, it will be the hiring Director's or supervisor's responsibility to provide the Human Resources Specialist with documentation why qualified minority and female applicants were considered and not selected as the successful candidate.

Where underutilization is identified for a specific job group the Human Resources Specialist will make an annual review of the employee selection process to ensure that practices or policies that could result in minorities and/or females being rejected for employment consideration are eliminated from the selection process.

XII. ACTION TO BE TAKEN BY NCCD TO IMPLEMENT THE 2013 AFFIRMATIVE ACTION PROGRAM

All personnel involved in recruiting, selection, discipline, and related processes will be trained regarding NCCD's affirmative action objectives; equal employment opportunity laws, regulations, and court decisions; and appropriate job-related management practices.

NCCD will develop programs to facilitate the attainment of the goals, which have been set to increase the hiring and promotion of minorities or females. The following programs or policies will be implemented for job groups identified as underutilized.

A. Job Descriptions

Staff will be assigned to:

1. Conduct a review of job requirements and/or descriptions to ensure that they accurately reflect the position responsibilities. (completed in 2013 w/comp study)
2. Evaluate new or modified job requirements for each position. Job requirements will be consistent for similar jobs in all locations and free from any bias with regards to race, color, age, religion, sex, and national origin. Job requirements that disproportionately screen out qualified minorities or females will be evaluated with respect to job's actual performance and business necessity (completed in 2013 with compensation study).
3. When vacancies occur, a distribution of the applicable position descriptions and job qualifications will be made to all members of management involved in the recruiting, screening, and selection process.

B. Recruitment Practices

1. Include the phrase "Equal Employment Opportunity" (EEO) and/or "Affirmative Action" employer (EEO/AA) in all printed employment advertisements.
2. Place appropriate job opportunities on minority and female job boards.
3. Disseminate information on job opportunities and NCCD's affirmative action objectives to organizations representing minorities and females, and employment development agencies (external, job posting database).
4. Actively encourage minority and female employees to refer applicants.
5. Send minority and female employees to participate in "Career Fairs" and related activities at local colleges and universities and other related community activities.
6. Recruit, when appropriate, at junior colleges and colleges with predominantly minority or female enrollments.

7. Participate, when appropriate, in special employment programs, and summer jobs for minority and female high school and college students.
8. Ensure that referral agencies, which are used, if any, are referring minorities and females in a nondiscriminatory manner.

C. Selection Practices

NCCD management will monitor NCCD's selection process to ensure that it is job specific and job related. Staff responsibilities will include:

1. Periodic evaluation of the selection policy to ensure that it is free from bias and does not hinder NCCD's ability to attain its affirmative action goals.
2. Periodically evaluate practices to ensure that they are job related and necessary.
3. Train staff interviewers on proper interview techniques, appropriate inquiries, documentation, and NCCD's affirmative action objectives.

D. Promotional and Training Practices

Management will continue to take the following types of action to prepare minorities and females for promotion, and to assist employees in advancing to jobs which offer more responsibility, challenge and further opportunity for advancement:

1. Internally post vacancies. Advise managers with the intention of identifying potential internal minority and females candidates.
2. Make available career counseling to assist employees in identifying promotional opportunities, training, and educational programs to enhance promotability and opportunities for job rotation or transfer.
3. When appropriate, offer remedial education, skills training, and work-study programs to assist employees in meeting performance standards and preparing for employment or advancement.
4. Administer any employee performance evaluation program, which is designed to assist employees in meeting performance standards, in a non-discriminatory manner.
5. Evaluate requirements for promotion on job-related criteria and ensure that minorities and females are not required to possess higher qualifications than others.
6. When an underutilization exists, require supervisory personnel to explain promotion selection decisions when qualified minority or female employees are among the candidates rejected for advancement opportunities.

E. Management Practices

Management will continue to take the following actions to assist supervisors in meeting their Affirmative Action Program responsibilities:

1. Periodically review forms, management practices, such as interviews, employee evaluations, counseling, training, and discipline.
2. Offer training to management regarding NCCD's Affirmative Action Program and objectives and job-related human resources practices.

XIII. CONCLUSION

NCCD is committed to an equal employment opportunity for all employees and applicants. In all employment transactions, it is the intention of NCCD to use every good faith effort to promote and accomplish the objectives of NCCD's Equal Employment Opportunity Policy and Affirmative Action Program.

Appendix D

RFP Forms

APPENDIX A
PROPOSAL AUTHENTICATION FORM

TITLE: Decision Support Tools and Predictive Analytics in Human Services

DUE DATE: APRIL 18, 2014

The undersigned hereby offers to furnish and deliver the services as specified in strict accordance with the RFP and scope of proposal, all of which are made a part of this request. This offer is not subject to withdrawal without permission of the County of Allegheny Department of Human Services Director.

FULL LEGAL COMPANY NAME: National Council on Crime and Delinquency

DOING BUSINESS AS: National Council on Crime and Delinquency

STREET ADDRESS: 1970 Broadway, Suite 500

CITY, STATE AND ZIP CODE: Oakland, CA 94612

AUTHORIZED SIGNATURE: 

PRINT NAME: Katherine H. Park

TITLE OF AUTHORIZED SIGNER: Vice President

TELEPHONE #: 1-800-306-6223 **FAX #:** 608-831-6446

WEBSITE URL: www.nccdglobal.org

E-MAIL ADDRESS: rfreitag@nccdglobal.org

Chapter 2

COMPANY INFORMATION

(This information is for tracking purposes only and has no role in the determination of the responsible proposer.)

☐ Check here if your firm is registered with the Allegheny County Department of Minority, Women and Disadvantaged Business Enterprises

☐ Check here if your firm is a "Minority Business Enterprise" or "MBE" as defined in the Small Business Act, 15 USC

☐ Check here if your firm is a "Women Business Enterprise" or "WBE" as defined in the Small Business Act, 15 USC

☒ Check here if your firm is a "Small Business" as defined by the Small Business Administration (13 C.F.R. 121.201, in most cases, this means a business with 500 or fewer employees)

NOTE: THIS PAGE MUST BE SUBMITTED WITH YOUR PROPOSAL. ALL PAGES REQUIRES A LIVE SIGNATURE SIGNED IN BLUE INK.

APPENDIX B
ABBREVIATED APPLICATION

1. Primary Contacts

	Chief Executive	Chief Information Officer	Chief Financial Officer	Contract Processing Contact
Name	Alexander Busansky	Katherine H. Park, Vice President	Tim Dietrich	Deb Paulus
Email	abusansky@nccdglobal.org	kpark@nccdglobal.org	tdietrich@nccdglobal.org	dpaulus@nccdglobal.org
Phone	1-800-306-6223	1-800-306-6223	1-800-306-6223	1-800-306-6223

Note: If you are an individual applying, you may identify yourself for all of the above roles.

2. I/we certify that this I/we/this organization is not currently under suspension or debarment by the Commonwealth of Pennsylvania, any other state, county or the federal government.

☒ So certified

3. Have you ever obtained or been denied a performance or fidelity bond, or has your bond ever been revoked?

☐ Yes ☒ No

If yes, explain:

4. Has an application to be an Allegheny County provider/vendor been denied in the past?

☒ Yes ☐ No

If yes, explain: National Council on Crime and Delinquency submitted proposals in 2011 and 2012 but were not awarded contracts.

5. Have you ever filed for bankruptcy?

☐ Yes ☒ No

If yes, explain:

6. Have you paid all taxes for the past years, including but not limited to real estate tax, employer taxes, employee withheld taxes, personal income tax (if individual)?

☒ Yes ☐ No

If yes, explain: National Council on Crime and Delinquency has paid all taxes owed for the past years.

7. Do you have the capability to do electronic billing if required?

☒ Yes ☐ No

If yes, explain: National Council on Crime and Delinquency is able to email electronic copies of invoices to Allegheny DHS fiscal staff.

8. Do you currently carry the insurance (see contract on DHS website) required to enter into a contract with DHS?

☒ Yes ☐ No

If yes, explain: National Council on Crime and Delinquency carries insurance at or above all the limits requested in the contract on the DHS website.

9. Do you/your staff have valid Pennsylvania driver licenses?

☐ Yes ☒ No

If yes, explain:

As an authorized signatory for National Council on Crime and Delinquency I hereby certify to the best of my knowledge and belief that the information in this proposal and application is true and accurate.

Signature:  Date: 4-17-14

Print/Type Name: Katherine H. Park Title: Vice President

APPENDIX C INTERNAL REVENUE SERVICE W-9

A fill-in version of this form can be obtained at the IRS website.

W-9 Form (Rev. October 2007) Department of the Treasury Internal Revenue Service	Request for Taxpayer Identification Number and Certification	Give form to the requester. Do not send to the IRS.
Name (as shown on your income tax return) National Council on Crime and Delinquency		
Business name, if different from above		
Check appropriate box: <input type="checkbox"/> Individual/Sole proprietor <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Limited liability company. Enter the tax classification (D=disregarded entity, C=corporation, P=partnership) ▶ <input checked="" type="checkbox"/> Exempt payee <input type="checkbox"/> Other (see instructions) ▶		
Address (number, street, and apt. or suite no.) 1970 Broadway, Suite 500		Requester's name and address (optional)
City, state, and ZIP code Oakland, CA 94612		
List account number(s) here (optional)		

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on Line 1 to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Social security number	
or	
Employer identification number	

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
- I am a U.S. citizen or other U.S. person (defined below).

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. See the instructions on page 4.

Sign Here	Signature of U.S. person ▶	Date ▶ 4-17-14
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General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

- Certify that the TIN you are giving is correct (or you are waiting for a number to be issued).
- Certify that you are not subject to backup withholding, or
- Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

Note. If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

The person who gives Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,

- The U.S. grantor or other owner of a grantor trust and not the trust, and
- The U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (see Publication 515, *Withholding of Tax on Nonresident Aliens and Foreign Entities*).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),
3. The IRS tells the requester that you furnished an incorrect TIN,

4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or

5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See the instructions below and the separate Instructions for the Requester of Form W-9.

Also see *Special rules for partnerships* on page 1.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

Sole proprietor. Enter your individual name as shown on your income tax return on the "Name" line. You may enter your business, trade, or "doing business as (DBA)" name on the "Business name" line.

Limited liability company (LLC). Check the "Limited liability company" box only and enter the appropriate code for the tax classification ("D" for disregarded entity, "C" for corporation, "P" for partnership) in the space provided.

For a single-member LLC (including a foreign LLC with a domestic owner) that is disregarded as an entity separate from its owner under Regulations section 301.7701-3, enter the owner's name on the "Name" line. Enter the LLC's name on the "Business name" line.

For an LLC classified as a partnership or a corporation, enter the LLC's name on the "Name" line and any business, trade, or DBA name on the "Business name" line.

Other entities. Enter your business name as shown on required federal tax documents on the "Name" line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the "Business name" line.

Note. You are requested to check the appropriate box for your status (individual/sole proprietor, corporation, etc.).

Exempt Payee

If you are exempt from backup withholding, enter your name as described above and check the appropriate box for your status, then check the "Exempt payee" box in the line following the business name, sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

Note. If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following payees are exempt from backup withholding:

1. An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2),
2. The United States or any of its agencies or instrumentalities,
3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities,
4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
5. An international organization or any of its agencies or instrumentalities.

Other payees that may be exempt from backup withholding include:

6. A corporation,
7. A foreign central bank of issue,
8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
9. A futures commission merchant registered with the Commodity Futures Trading Commission,
10. A real estate investment trust,
11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
12. A common trust fund operated by a bank under section 584(a),
13. A financial institution,
14. A middleman known in the investment community as a nominee or custodian, or
15. A trust exempt from tax under section 664 or described in section 4947.

The chart below shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 15.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 9
Broker transactions	Exempt payees 1 through 13. Also, a person registered under the Investment Advisers Act of 1940 who regularly acts as a broker
Barter exchange transactions and patronage dividends	Exempt payees 1 through 5
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 7 ²

¹See Form 1099-MISC, Miscellaneous Income, and its instructions.

²However, the following payments made to a corporation (including gross proceeds paid to an attorney under section 6045(f), even if the attorney is a corporation) and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, and payments for services paid by a federal executive agency.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited liability company (LLC)* on page 2), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting www.irs.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note. Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, and 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). Exempt payees, see *Exempt Payee* on page 2.

Signature requirements. Complete the certification as indicated in 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor ²
4. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee ³
b. So-called trust account that is not a legal or valid trust under state law	The actual owner ¹
5. Sole proprietorship or disregarded entity owned by an individual	The owner ⁴
For this type of account:	Give name and EIN of:
6. Disregarded entity not owned by an individual	The owner
7. A valid trust, estate, or pension trust	Legal entity ⁵
8. Corporate or LLC electing corporate status on Form 8832	The corporation
9. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
10. Partnership or multi-member LLC	The partnership
11. A broker or registered nominee	The broker or nominee
12. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity

¹List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

²Circle the minor's name and furnish the minor's SSN.

³You must show your individual name and you may also enter your business or "DBA" name on the second name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 1.

Note. If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, social security number (SSN), or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN.
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

Call the IRS at 1-800-829-1040 if you think your identity has been used inappropriately for tax purposes.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes.

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS personal property to the Treasury Inspector General for Tax Administration at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.consumer.gov/idtheft or 1-877-IDTHEFT(438-4338).

Visit the IRS website at www.irs.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons who must file information returns with the IRS to report interest, dividends, and certain other income paid to you, mortgage interest you paid, the acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA, or Archer MSA or HSA. The IRS uses the numbers for identification purposes and to help verify the accuracy of your tax return. The IRS may also provide this information to the Department of Justice for civil and criminal litigation, and to cities, states, the District of Columbia, and U.S. possessions to carry out their tax laws. We may also disclose this information to other countries under a tax treaty, to federal and state agencies to enforce federal non-tax criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism.

You must provide your TIN whether or not you are required to file a tax return. Payers must generally withhold 28% of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to a payer. Certain penalties may also apply.

Allegheny County

Vendor Creation Form

Controller's use only:

Supplier No. _____

1099 Eligibility: ☐ Yes ☐ No☒ Add ☐ Change Supplier No. _____

Company Information:

Federal Tax ID (TIN)

National Council on Crime and Delinquency

Company Name (Please type or print)**Original W-9** must be attached**Required information**
Type of Service Provided

- | | |
|---|-------------------------------------|
| <input type="checkbox"/> Independent Contractor | <input type="checkbox"/> Rent |
| <input type="checkbox"/> Maintenance/Service Agreement | <input type="checkbox"/> Care Giver |
| <input type="checkbox"/> Insurance | <input type="checkbox"/> Legal |
| <input type="checkbox"/> Personal Reimbursement | <input type="checkbox"/> Medical |
| <input checked="" type="checkbox"/> Other (please list) | |

Type of Commodity Provided

(please describe below)

Research and evaluation services and analytics

Research, assessment tools, evaluation, analytics**Required Information****Minority Or Women Owned**☐ Yes ☒ No

If yes select ethnicity and gender of the vendor below:

- | | |
|--------------------------|-----------------------------|
| <input type="checkbox"/> | Asian Pacific American |
| <input type="checkbox"/> | Black American |
| <input type="checkbox"/> | Hispanic American |
| <input type="checkbox"/> | Native American |
| <input type="checkbox"/> | Subcontinent Asian American |
| <input type="checkbox"/> | Non-Minority Woman |
| <input type="checkbox"/> | Other |

If Yes ☐ Male ☐ FemaleCertified By: ☐ PAUCP ☐ PADGS ☐ Non PA Certification

(attach copy of certification)

Non-Profits including Faith Based Organizations

- | | |
|-------------------------------------|-----------------------------|
| <input type="checkbox"/> | Faith Based Non-Minority |
| <input type="checkbox"/> | Faith Based Minority |
| <input type="checkbox"/> | African American Non-Profit |
| <input checked="" type="checkbox"/> | Other Non-Profit |

Outreach Manager Interface ☐ Yes ☒ No

APPENDIX D

Industry Classification by NAICS Code

Primary Industry 541720
Secondary Industry (if applicable) 541511 and 518210

*If code is not known go to <http://www.census.gov/epcd/naics02/naicod02.htm> and select the correct code.

~~**Supplier Information (Search Type "P") – (Where PO should be sent to place order)**~~

~~Please type or print~~

~~Company Name _____ Telephone Number _____
Address Line 1 _____ Fax Number _____
Address Line 2 _____
Address Line 3 _____
City _____ State _____
ZIP Code _____~~

Required Information

Supplier/Remit To Information (Search Type "V") – (Where check will be mailed for payment. Check must be made payable to exact name listed under TIN provided or check cannot be processed.)

Please print or type

Supplier/Payee Name National Council on Crime and Delinquency
Address Line 1 1970 Broadway, Suite 500
Address Line 2 _____
Address Line 3 _____
City Oakland State CA
ZIP Code 94612
Telephone Number 1-800-306-6223
Fax Number 608-831-6446

*If the "remit to" information provided on form does not match invoices submitted for payment, the Controller's Office MUST contact supplier to verify address information before payments are processed. Thank you for your cooperation.

APPENDIX D

If the Allegheny County Department with which you do business is known, providing the information below will help in the processing of your payments. **Failure to include the information may result in processing delays.**

Allegheny County

Departmental Contact

Name	Leslie Lewis-Pollard
Telephone No.	412-350-5663
Fax No.	412-350-3414
EMail Address:	Lewis-pollard@alleghenycounty.us

Supplier/Payee Contact Name

Name	Deb Paulus
Telephone No.	1-800-306-6223
Fax No.	608-831-6446
Email Address:	dpaulus@nccdglobal.org

National Council on Crime and Delinquency
Budget and Budget Narrative
September 1, 2014 – August 31, 2018

The National Council on Crime and Delinquency (NCCD) is proposing \$1,000,015 for this project over a four-year period. There are no matching funds. The budget is presented as deliverable-based. During the precontract negotiation period, Allegheny County Department of Human Services (DHS) may choose to remove or modify any of the deliverables detailed below. In that case, NCCD would then submit a revised budget based on the modifications.

YEAR 1: SEPTEMBER 2014 – AUGUST 2015

Implementation Coordination

Cost: \$ [REDACTED]

Orientation and launch meeting: NCCD will host a series of web meetings for the steering committee and other critical stakeholders. The purpose of these meetings will be to clarify and gain agreement on project goals and a process for working together; introduce the SDM system and enhanced social work model to the group; orient the steering committee to their critical role in implementation success; and begin to make a timetable for local adaptation, implementation, and next steps.

Baseline evaluation: NCCD staff will review current policy, practice, and outcomes in DHS through the following activities.

- *Review of policy and statute.* The NCCD team will use agency documentation to map the critical processes that will be changed through the implementation of SDM assessments and enhanced social work.
- *Data analysis.* The NCCD team will review available data on current outcomes in DHS. This analysis will inform the kickoff meeting discussion of goals and may be completed after the kickoff meeting to resolve any questions that arise.

These findings regarding the project baseline will be presented to the steering committee in a memo or Microsoft PowerPoint presentation.

Problem definition and logic model development: NCCD staff will work with the project steering committee through a series of web meetings to identify and use agency data to describe the problem that the implementation of SDM assessments and enhanced social work practice are intended to address. NCCD staff will then help the project team describe how the implementation will address this problem. This logic model will be used to guide subsequent evaluation efforts and to develop process measures that can be used to track implementation.

Implementation plan: NCCD will collaborate with the steering committee to create an implementation plan that includes a stakeholder engagement plan and plan for integration of implementation into existing initiatives. This plan will describe the development timeline and organizational change activities.

Implementation monitoring: NCCD staff will host a monthly web meeting with the steering committee to review progress on the implementation plan. These monthly calls will enable the team to identify any problems with implementation and to make timely corrections. The steering committee and NCCD may choose to hold these meetings more frequently during the early stages of the project.

Intake Assessment Customization

Cost: \$ [REDACTED]

Draft development: To the extent that information is available regarding the separation of allegations into various response types and times, NCCD will create draft assessments to support consistent decision making regarding what type of response is necessary and how quickly a hotline worker should respond to an allegation of abuse or neglect.

Workgroup: These draft assessments will be introduced to the SDM steering committee along with a particular hotline workgroup during a two-day onsite meeting with administrators, managers, and supervisors. This workgroup meeting will include a careful consideration of the draft assessment and item definitions.

During this meeting, NCCD staff will address concerns and questions related to SDM screening and response priority assessment implementation.

Note: Creation of a screening and response priority assessment allows DHS to consider creating different response times based on severity and potential impact of different types of allegations. This differentiation has been used in many agencies around the country and has been seen as a great aid in managing workflow and ensuring the families that have the most needs receive the most resources.

Preimplementation inter-rater reliability (IRR) testing: Prior to training, coaching, and implementation, NCCD staff will conduct IRR testing of the newly developed screening assessment with workers participating in a field test to assess the degree of consistency obtained in using the assessment. Intake workers will complete assessments for written scenarios that indicate reports of harm. Written scenarios will be based on actual screening narratives from DHS files. NCCD staff will analyze findings to determine whether the assessment and definitions help workers achieve consistent assessment results when provided with the same information.

Final draft: NCCD staff will take feedback from the meeting and from the IRR testing, make alterations, and conduct a web meeting with the workgroup for final changes. Once agreement is reached on the screening assessment, the workgroup will make recommendations to the steering committee on developing a training and implementation plan.

CPS investigation Assessments Customization

Cost: \$ [REDACTED]

Initial draft: A workgroup comprised of CPS investigators, ongoing staff, supervisors, and managers will consider an initial draft of the current safety and risk assessments. During a three-day meeting, this group will create new draft safety and risk assessments for CPS investigators.

Risk fit: As described in the project narrative, a data analysis will estimate the ability of the current risk assessment draft to classify families accurately in Allegheny County.

Workgroup review: NCCD will lead a web meeting with the steering committee with the recommendations of the investigation workgroup. During this meeting, NCCD staff will address concerns and questions related to the new safety assessment's implementation and how this links with other assessments in the system.

Pre-implementation IRR testing: Prior to training, coaching, and implementation, NCCD staff will conduct IRR testing of the newly developed safety and risk assessments to assess the degree of consistency obtained in using the assessments. Workers will complete assessments for written scenarios based on actual investigation narratives from DHS files. NCCD staff will analyze findings to determine whether the assessment and definitions help workers achieve consistent assessment results when provided with the same information.

Final draft: NCCD staff will gather feedback from the meeting, make alterations, and conduct a web meeting with the workgroup for changes (a third meeting can be added, if necessary). Once agreement is reached on the safety and risk assessments, the workgroup will make recommendations to the steering committee on developing a training and implementation plan.

CPS Ongoing Services Assessments Customization

Cost: \$ [REDACTED]

Initial draft: A workgroup comprised of CPS ongoing staff, supervisors, and managers will consider initial drafts of the family strengths and needs assessment, risk reassessment, and reunification assessment. During a four-day meeting, this group will create new draft assessments for CPS ongoing services.

Workgroup review: NCCD will lead a web meeting with the steering committee with the recommendations of the workgroup. During this meeting, NCCD staff will address concerns and questions related to the implementation of the family strengths and needs assessment, risk reassessment, and reunification assessment, and how these assessments link with other assessments in the system.

Pre-implementation IRR testing: Prior to training, coaching, and implementation, NCCD staff will conduct IRR testing of the newly developed assessments to assess the degree of consistency obtained in using the assessments. Workers will complete assessments for written scenarios based on actual investigation/assessment narratives from DHS files. NCCD staff will analyze findings to determine whether the assessments and definitions help workers achieve consistent assessment results when provided with the same information.

Final draft: NCCD staff will gather feedback from the meeting, make alterations, and conduct a web meeting with the workgroup for changes. Once agreement is reached on the assessments, the workgroup will make recommendations to the steering committee on developing a training and implementation plan.

Practice Model Customization

Cost: \$ [REDACTED]

Initial model: A workgroup comprised of CPS investigations and ongoing staff, supervisors, and managers will consider the existing enhanced social work model, as developed by NCCD. During a three-day meeting, this group will consider how the model is congruent or at odds with current practices and codevelop an integrated model that carries forward current DHS practice elements while incorporating elements of the NCCD enhanced social work model.

Workgroup review: NCCD will lead a web meeting with the steering committee with the recommendations of the workgroup. During this meeting, NCCD staff will facilitate a discussion of changes or enhancements to infrastructure that will be needed to embed these practices in daily organizational life. The steering committee will also consider the links between the revised enhanced social work practice model and the SDM assessments that have been developed (or are being developed concurrently). The meeting will also focus on the selection of an early adopter group that will begin to use the practices.

Early adopter training: Early adopters selected by the agency will be invited to a preliminary three-day training on the fundamentals of the integrated practice model.

Early adopter coaching: As early adopters practice their new skills, they will participate in web-based meetings to share experiences and results and to provide a feedback loop to the steering committee. The early adopter phase will be conducted during March – August 2015. This will enable further practice model development while the SDM assessments for CPS are being integrated into information systems. NCCD will facilitate web meetings with early

adopters and act as mentors in the process. Meeting content will include examples of successes that can be used in future training sessions, challenges that have emerged, and discoveries of ways to improve these practices.

Revision: As the early adopter period comes to a close, NCCD will host a web meeting with the steering committee to integrate lessons learned from the early adopter period. The enhanced social work practice model materials will be revised, and a plan for DHS-wide training, coaching, and implementation will be developed.

IT Integration Consultation

Cost: \$ [REDACTED]

NCCD will:

- Provide assistance in the creation of SDM software requirement specification and provide a guidance document that includes must-haves and want-haves; and
- Require participation in the certification testing in order to certify that the SDM assessments implemented within the client management system meet minimum requirements for form functionality and scoring. The actual development will be done by the agency's client management system vendor.

TOTAL COST FOR YEAR ONE: [REDACTED]

YEAR 2: SEPTEMBER 2015 – AUGUST 2016

Implementation Coordination

Cost: \$ [REDACTED]

Orientation and launch meeting: NCCD will host a web meeting for the steering committee and other critical stakeholders. The purpose of this meeting will be to clarify and gain agreement on the goals for the project year and the detailed project timeline for the year.

Implementation monitoring: NCCD staff will host a monthly web meeting with the steering committee to review progress on the implementation plan. These monthly calls will enable the team to identify any problems with implementation and to make timely corrections. The steering committee and NCCD may choose to hold these meetings more frequently during the early stages of the project.

Curriculum Development and Training/Coaching

Cost: \$ [REDACTED]

Classroom curriculum development: NCCD will develop curriculum materials for teaching the SDM assessments and the enhanced practice model, including PowerPoint slides, handouts, a trainer manual, and trainer/coaching resources. Curriculum development will be based on the workgroups conducted during the preimplementation stage and will reflect decisions made by that process. The curriculum will be modular so that staff can deliver it monthly as individual training pieces over the course of a year in wider implementation. There will be one base training that may be delivered to workers and supervisors and additional modules that are designed to assist supervisors as they support implementation.

Online learning module development: NCCD uses an online learning management system called Udu to develop and deliver web-based training. NCCD has found web-based training to be a useful complement to (but not replacement for) classroom-based training. Online training allows learners to complete training modules as their work schedules allow, and the use of a learning management system allows online course completion to be tracked and assessed. Online training is generally focused on information transfer, allowing classroom trainings to be shorter and more focused on practice.

Training of trainers: NCCD will train trainers identified by the steering committee to delivery training content to workers and supervisors. This training will extend over several sessions and include:

- Approximately one day of training for each SDM assessment (this may be shortened if web-based training is used);
- Three days of introductory training to enhanced social work practice; and

- Three additional three-day trainings on follow-up modules, delivered four, eight, and 12 months after initial training.

Coaching institute: NCCD will provide a three-day coaching institute for coaches identified by the steering committee. This training will provide basic fundamentals of coaching to enable local coaches to support ongoing implementation. The focus of the training will be hands-on practice of techniques.

Remote support of trainers and coaches: NCCD staff will provide monthly support calls for trainers and coaches as implementation progresses.

Data Analysis Services

Cost: [REDACTED]

- Data analysis: NCCD will work with DHS to obtain critical data necessary for implementation analysis.
- Remote support: NCCD will conduct two remote web-based trainings to DHS to present findings and share methods.
- Detailed memo: NCCD will produce two detailed memos on SDM implementation to identify data integrity issues or completion rates, provide aggregate analysis of critical SDM decision points, or report on other implementation topics suggested by DHS.

TOTAL COST FOR YEAR TWO: [REDACTED]

YEAR 3: SEPTEMBER 2016 – AUGUST 2017

Implementation Coordination

Cost: [REDACTED]

Orientation and launch meeting: NCCD will host a series of web meetings for the steering committee and other critical stakeholders. The purpose of these meeting will be to clarify and gain agreement on the goals for the third year of the project and begin to make a timetable for local adaptation, implementation, and next steps. NCCD will additionally provide an overview for APS stakeholders.

Baseline evaluation: NCCD staff will review current policy, practice, and outcomes in DHS for APS through the following activities.

- *Review of policy and statute.* The NCCD team will use agency documentation to map the critical processes that will be changed through the implementation of SDM assessments and enhanced social work.
- *Data analysis.* The NCCD team will review available data on current outcomes in DHS. This analysis will inform the kickoff meeting discussion of goals and may be completed after the kickoff meeting to resolve any questions that arise.

These findings regarding the project baseline will be presented to the steering committee in a memo or PowerPoint presentation.

Problem definition and logic model development: NCCD staff will work with the project steering committee through a series of web meetings to identify and use agency data to describe the problem that the implementation of SDM assessments and enhanced social work practice are intended to address. NCCD staff will then help the project team describe how implementation will address this problem. This logic model will be used to guide subsequent evaluation efforts and to develop process measures that can be used to track implementation.

Implementation plan: NCCD will collaborate with the steering committee to create an implementation plan that includes a stakeholder engagement plan and plan for implementation integration into existing initiatives. This plan will describe the development timeline, training and coaching needs, and organizational change activities. These activities will be allocated to NCCD staff or DHS to ensure the successful implementation of SDM assessments and the enhanced social work model.

Implementation monitoring: NCCD staff will host a monthly web meeting with the steering committee to review implementation plan progress. These monthly calls will enable the team to identify any problems with implementation and to make timely corrections. The steering

committee and NCCD may choose to hold these meetings more frequently during the early stages of the project.

APS Investigation and Services Assessments Customization

Cost: [REDACTED]

Initial draft: A workgroup comprised of APS investigators, ongoing staff, supervisors, and managers will consider an initial draft of the current safety, risk, and strengths and needs assessments. During a four-day meeting, this group will create new draft assessments for APS workers.

Risk fit: As described in the project narrative, data analysis will estimate the ability of the current risk assessment draft to classify vulnerable adults accurately in Allegheny County.

Practice model development: The workgroup will consider elements of current practice in the APS system and how new strategies can be incorporated to better engage clients and caregivers as appropriate. This discussion and the development of a practice model that integrates the SDM assessments will take place during a three-day onsite meeting.

Workgroup review: NCCD will lead a web meeting with the steering committee with the recommendations of the workgroup. During this meeting, NCCD staff will address concerns and questions related to the implementation of the new assessments.

Preimplementation IRR testing: Prior to training, coaching, and implementation, NCCD staff will conduct IRR testing of the newly developed assessments to assess the degree of consistency obtained in using the assessments. Workers will complete assessments for written scenarios based on actual investigation narratives from DHS files. NCCD staff will analyze findings to determine whether the assessment and definitions help workers achieve consistent assessment results when provided with the same information.

Final draft: NCCD staff will gather feedback from the meeting, make alterations, and conduct a web meeting with the workgroup for changes. Once agreement is reached on the assessments, the workgroup will make recommendations to the steering committee on developing a training and implementation plan.

IT Integration Consultation

Cost: \$ [REDACTED]

NCCD will:

- Provide assistance in the creation of SDM software requirement specification and provide a guidance document that includes must-haves and want-haves; and

- Require participation in the certification testing in order to certify that the SDM assessments implemented within the client management system meet minimum requirements for form functionality and scoring. The actual development will be done by the agency's client management system vendor.

Data Analysis Services

Cost: \$ [REDACTED]

- Data analysis: NCCD will work with DHS to obtain critical data necessary for implementation analysis.
- Remote support: NCCD will conduct two remote web-based trainings to DHS to present findings and share methods.
- Detailed memo: NCCD will produce two detailed memos on SDM implementation to identify data integrity issues or completion rates, provide aggregate analysis of critical SDM decision points, or report on other implementation topics suggested by DHS.

Training and Coaching Support

Cost: \$ [REDACTED]

Online learning module maintenance: NCCD will maintain online courses in the Uduku system and update courses as needed.

Remote support of trainers and coaches: NCCD staff will provide weekly trainer support calls during the early implementation/staff training period and monthly support calls for trainers and coaches as implementation progresses.

TOTAL COST FOR YEAR THREE: [REDACTED]

YEAR 4: SEPTEMBER 2017 – AUGUST 2018

Implementation Coordination

Cost: \$ [REDACTED]

Orientation and launch meeting: NCCD will host a web meeting for the steering committee and other critical stakeholders. The purpose of this meeting will be to clarify and gain agreement on the goals for the project year and the detailed project timeline for the year.

Implementation monitoring: NCCD staff will host a monthly web meeting with the steering committee to review progress on the implementation plan. These monthly calls will enable the team to identify any problems with implementation and to make timely corrections. The steering committee and NCCD may choose to hold these meetings more frequently during the early stages of the project.

Curriculum Development and Training/Coaching

Cost: \$ [REDACTED]

Classroom curriculum development: NCCD will develop curriculum materials for teaching the SDM assessments and the enhanced practice model, including PowerPoint slides, handouts, a trainer manual, and trainer/coaching resources. Curriculum development will be based on the workgroups conducted during the pre-implementation stage and will reflect decisions made by that process. The curriculum will be modular so that staff can deliver it monthly as individual training pieces over the course of a year in wider implementation. There will be one base training that may be delivered to workers and supervisors and additional modules that are designed to assist supervisors as they support implementation.

Online learning module development: NCCD will use Udutu to develop and deliver web-based training. NCCD has found web-based training to be a useful complement to (but not replacement for) classroom-based training. Online training allows learners to complete training modules as their work schedules allow, and the use of a learning management system allows online course completion to be tracked and assessed. Online training is generally focused on information-transfer, allowing classroom trainings to be shorter and more focused on practice.

Training of trainers: NCCD will train trainers identified by the steering committee to delivery training content to workers and supervisors. This training will extend over several sessions and include:

- Approximately one day of training for each SDM assessment (this may be shortened if web-based training is used); and

- One additional week of training for trainers to present revisions to the practice model for use in APS.

Remote support of trainers and coaches: NCCD staff will provide monthly support calls for trainers and coaches as implementation progresses.

Data Analysis Services

Cost: \$ [REDACTED]

- *Data analysis:* NCCD will work with DHS to obtain critical data necessary for implementation analysis.
- *Remote support:* NCCD will conduct two remote web-based trainings to DHS to present findings and share methods.
- *Detailed memo:* NCCD will produce two detailed memos on SDM implementation to identify data integrity issues or completion rates, provide aggregate analysis of critical SDM decision points, or report on other implementation topics suggested by DHS.

TOTAL COST FOR YEAR FOUR: [REDACTED]